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REAUTHORIZATION OF THE HIGHER EDUCATION ACT, 1985

HEARINGS

BEFORE THE

SUBCOMMITTEE ON EDUCATION,
ARTS AND HUMANITIES

OF THE

COMMITTEE ON
LABOR AND HUMAN RESOURCES
UNITED STATES SENATE

NINETY-NINTH CONGRESS

FIRST SESSION

ON

EXAMINATION OF RECOMMENDATIONS AND PROPOSALS OF THE ADMINISTRATION AND OTHER EDUCATIONAL COUNCILS REGARDING THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT

SEPTEMBER 26 AND OCTOBER 10, 1985
WASHINGTON, DC

PART 5

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REAUTHORIZATION OF THE HIGHER EDUCATION ACT, 1985

THURSDAY, SEPTEMBER 26, 1985

MORNING SESSION

U.S. SENATE,
SUBCOMMITTEE ON EDUCATION, ARTS AND HUMANITIES,
COMMITTEE ON LABOR AND HUMAN RESOURCES,
Washington, DC.

The subcommittee met, pursuant to notice, at 10:09 a.m., in room SD-430, Dirksen Senate Office Building, Senator Robert T. Stafford (chairman of the subcommittee) presiding.

Present: Senators Stafford and Pell.

OPENING STATEMENT OF SENATOR STAFFORD

Senator STAFFORD. The Subcommittee on Education, Arts and Humanities will please come to order.

Today, the Subcommittee on Education, Arts and Humanities meets to continue our series of hearings on the Reauthorization of the Higher Education Act of 1965.

Quality post-secondary institutions require the combined effort of Federal, State and private resources. Therefore, this morning's witnesses will discuss the importance of higher education programs to the States, and give us their suggestions for changes in the current programs.

We are pleased to have with us Governor Kean of New Jersey, the current chairman of the National Governors' Association Subcommittee on Education.

Following his testimony, we will hear from a panel of key State representatives from around the country. I am particularly pleased to welcome the Honorable Florence Robillard, chairman of the Vermont Senate Committee on Education, of that panel.

Our third panel this morning is another distinguished Vermonter, Lt. Gov. Peter Smith. He serves as chairman of the Fund for the Improvement of Post-Secondary Education known as FIPSE.

Both Flossie and Peter have been of invaluable help in the past to our subcommittee and have been quite active in the current reauthorization of the Higher Education Program.

I would like to welcome our three panels. Once again, may I remind you that we would ask you to limit your oral testimony, where you can, to 5 minutes, so that we will have ample time for questions.

And now, we are ready to hear from the most able and distinguished Governor of New Jersey, Gov. Thomas Kean.

STATEMENT OF HON. THOMAS H. KEAN, GOVERNOR, STATE OF NEW JERSEY, TRENTON, NJ

Governor **Kean**. Thank you, Senator, very much. I appreciate the opportunity to be here because I know how deeply yourself and the committee members care about the quality of our Nation's colleges and universities. As our country faces new challenges and responsibilities, the need for us to have the best system of higher education in the world is greater now than ever before.

In addition to chairing this National Governors' Association Subcommittee on Education, I am chairman of the Education Commission of the States, and everywhere I go, in both capacities, I hear State leaders talk about bold new programs they are using to improve their colleges and universities.

And as I listen, I have become convinced that the individual States are now poised on what I consider to be a national resurgence in college and university education.

Let me use just a few examples from my own State of New Jersey. We are concerned in New Jersey about making college a viable option for our minority students.

In this Nation, between 1975 and 1982, the number of black students graduating from high school increased by 29 percent, but at the same time, the number of black students enrolling in college decreased by 11 percent. Now, it is very important, nationally, that we stop this trend and reverse those figures, because in New Jersey, as in many other States, minorities are making up an increasing large part of our elementary and secondary school populations. We want to guarantee that college is a viable option for these children.

So we have initiated a special program to reach out to talented minority students, to give them counseling and remedial education, and to use State funds to help pay for their own education. The program works.

I know of one Hispanic woman from Newark who was a single parent with a child, working as a clerk in an insurance agency. She lived on welfare. She was on public assistance.

She decided she could do more for herself, and through our Educational Opportunity Fund Program, she gained a college education. And then she went on. She got a master's degree from Columbia, and today, she is head of the Aspira Corp. which provides counseling and education services to young Hispanic people who need help.

This woman, who was once destined for a life on public welfare, is now helping others to get off it. And I know this Congress is concerned, and rightly so, about the American industry's standing in international trade.

Governors obviously share your concern. We recognize we must strengthen the link between research, as done in the university laboratories, and the salesroom. Our research ability is the trump card, it seems to me, that we hold over all our international competitors, and we just simply have to turn it to our advantage.

Two years ago, I made my case to the citizens of New Jersey, that it was worthwhile to make New Jersey a research center of the world, and they agreed to pass a $90 million bond issue to fund jobs in science and technology, moneys to be matched by the private sector, and from other sources, to bring industry and universities together to pursue this common goal.

Today, we already have five high technology centers around the State, and they work. One center in industrial ceramics is located at Rutgers, our State university.

Originally, our concept was that that center would attract 20 corporations in about 5 years, but in just 3 years, 31 corporations have signed up, and we have had to close the door.

The director of that lab says simply, "The State money made all the difference. It attracted the private industry."

At Rutgers, scientists are working on four separate technologies that will be out of the laboratory and into the commercial market within a year.

These technologies are the first of their kind in the world, and each one is expected to gross at least $1 million a year for the private companies that use them.

And it is a two-way street. Every time a breakthrough occurs, another 5 to 10 high tech companies are expected to move in and take advantage of a new product, and a lot of these obviously are foreign companies.

And that means jobs. It means good jobs for our residents. And we are dealing with other, more general problems.

The other day I read about a government professor who decided to play a game of Trivial Pursuit with a bunch of college freshmen.

The professor was shocked because he found out that half of the students—these are college freshmen—half of the students were not able to identify the Vice President of the United States, and more than two-thirds did not know which side General Grant was on in the Civil War.

The professor said that if you played Trivial Pursuit in his civics class, you would have to bring a sleeping bag as the game would never end; it would just keep on going on.

And it is funny but it is not funny, because it means that many of our colleges are like fast food restaurants, churning out countless products regardless of the final quality. In this television age, an increasing number of our graduates fail to have even rudimentary knowledge of our history and of civic matters.

Now what does that mean for our ability to function as a democracy? Again, in New Jersey, we are trying to do something to turn it around. We are trying to improve the type of education offered at all our colleges.

We recognize that you cannot march down from the statehouse and snap the fingers, and hope everything is going to get better, because it seems to me improvement has to come from the thinkers and from the innovaters that are already at those colleges.

And so we are offering incentives. Challenge grants. We are dangling State money in front of our colleges and we reward those that are most innovative.

They have got to come up with a plan, and we reward them for coming up with a plan. Just this week I awarded almost $6 million in State funds to Jersey City State College in a very innovative program revamping its curriculum to provide cooperative education with on-the-job training.

Another New Jersey college just this week won an extra $4 million for a new program to better measure students' abilities in mastering basic skills.

I am excited about those kind of programs because they offer colleges a chance to move off this fast food mentality, to try new approaches in solving old problems. I mention these examples because I am proud that they are occurring in my State. But New Jersey is not alone. Everywhere I go I hear Governors talking about similar reforms, new programs, bold approaches that are being used to improve higher education.

But there is a catch, and that catch is a big one, and that is simply that all the State efforts are going to fall short if the Federal Government does not maintain its own commitment to higher education.

For 20 years now we have been partners, partners in this game of higher education. We have come a long way and as I have tried to show this morning, States like my own are willing to go that extra mile to meet the new challenges that are ahead.

But we need your support. We desperately need Federal financial aid programs to be adequately funded. We need a continued Federal role in research and in graduate education.

Because every penny of Federal aid that disappears means one penny of State aid that has got to go elsewhere. One penny that we cannot put toward our minority advancement programs. One penny that we cannot put toward our research centers. One penny that cannot go in challenge grants to reward our good colleges.

Now in the past, this committee has recognized the importance of the Federal/State partnership in higher education. I understand that just a few nights ago, Senator, you were on the floor fighting for the Guaranteed Student Loan Program, and I thank you very much for that effort.

We hope that with reauthorization of the Higher Education Act, that this committee will again reaffirm its commitment to our partnership.

In specific terms, the National Governors Association urges the committee to do a number of things and I elaborate further on these in my written testimony.

But we ask you to maintain Federal support for student financial assistance programs.

We ask you to improve the mix between grant and loan programs in order to reduce the kind of debt burden that a student can feel.

We ask you to maintain the State/Student Incentive Grant Program.

To continue Federal support for basic and for applied research.

To renew Federal efforts to strengthen our graduate education, to better prepare the workforce for the future.

You know, I think it was Aristotle, who was of course a pupil of Plator, and the tutor of Alexander the Great, who was once asked by a citizen: "What was the difference between an education man and an uneducated man." He replied: "It is the same difference as being alive or being dead." And I think that the 20-year partnership between the Federal Government and State governments has put us in a position to bring alive all of this country's colleges and universities.

The Nation's Governors are willing to go the extra mile, spend the extra money to meet the increasingly diverse demands that are being put on our campuses. But we need and we must have your continued support. We must work together, because only as partners can we improve the quality of higher education and prepare our citizens for the challenges of the next century. Thank you very much.

[The prepared statement of Governor Kean follows:]

National Governors' Association

Lamar Alexander
Governor of Tennessee
Chairman

Raymond C. Scheppach
Executive Director

STATEMENT OF

THE HONORABLE THOMAS H. KEAN

GOVERNOR OF NEW JERSEY

Chairman, Subcommittee on Education
National Governors' Association

Before the

SUBCOMMITTEE ON EDUCATION, ARTS & THE HUMANITIES

COMMITTEE ON LABOR AND HUMAN RESOURCES

UNITED STATES SENATE

ON

REAUTHORIZATION OF THE HIGHER EDUCATION ACT

September 26, 1985

HALL OF THE STATES · 444 North Capitol Street · Washington, D.C. 20001-1572 · (202) 624-5300

Mr. Chairman, members of the Subcommittee, I am pleased to be here today as chairman of the National Governors' Association Subcommittee on Education to address some of the concerns that have come to light in your re-examination of the federal role in post-secondary education.

Let me begin by commending you for the excellent work you have done in establishing and affirming the federal role in post-secondary education. We governors appreciate your efforts in the past and are committed to working with you once again on the important reauthorization of the Higher Education Act.

For the past twenty years, the states and the federal government have worked as partners in support of higher education. We are all reexamining that partnership and the tasks before it.

The nation's governors want Congress to know that we are committed to upholding our end of the partnership. The states have long provided a significant portion of the public support for post-secondary education. In 1982, for example, state support represented 68.5 percent of government aid for the current operating budgets of post-secondary educational institutions. Those state dollars help sustain every function of higher education, from instruction to equipment to student financial aid, but they are insufficient by themselves to support the entire system. Federal support is equally critical, especially in providing direct assistance to students who demonstrate financial need. A calculated division of responsibilities between the federal and state governments was the backbone of the Higher Education Act of 1965, and it was affirmed in the 1972 amendments. It should be reaffirmed once again in the 1985 reauthorization.

The state commitment remains strong. That is good, but it is not good enough. As governors examine recent trends, we are concerned that our current system will not meet the rigorous demands of the future.

Despite its high quality, American higher education must be even more effective to meet the new challenges and demands placed on them. These demands are: the changing demographic of the student population, the competitive international economy, and the renewal of involved and committed citizenship.

Projected future demographic changes suggest that more students will need more governmental assistance to finance their post-secondary education. The number of college-age minority and low-income youth will increase in the next decade. The number of women, adults, and part-time students will also increase dramatically in the future.

Consider, for example, between 1975 and 1982, the number of black students graduating from high school increased by 29 percent, but the number of blacks enrolling in college dropped by 11 percent. A similar pattern emerged for Hispanics and some other minorities. Why is college education becoming less accessible for our minority and low-income students? Especially at a time when these students compose a rapidly growing part of our elementary and high school population.

The United States historical leadership in research and technology is eroding. Are colleges and universities failing to provide the research base that spurred our technological leadership and economic growth over the past two decades?

A recent Roper poll showed that over half of all Americans believe that important national problems cannot be solved through the traditional political process. This decline mirrors similar drops in confidence in all large institutions, and in the ability of one person to make a difference.

Are our colleges and universities failing to instill the sense of civic responsibility which has historically been the backbone of our democratic system?

Demographics, international economy, civic involvement at first glance, these trends may seem unrelated. But they are not. And, when combined with other, related trends, they put increased pressure upon our nation's campuses to do a better job.

Clearly, we have to go the extra mile to meet the rigorous challenges of the future.

Benjamin Franklin, once said, "We are on the right road because we are making experiments." All across this country, states are recognizing the challenges ahead of us, and trying bold new approaches to improve access to education, to expand university research capabilities, and to raise standards and strengthen basic curriculum.

One example from my home state. Experts have called New Jersey "an awakening giant" in high technology. All the factors are in place to duplicate the success of Silicone Valley in California and Route 128 in Massachusetts. But we realize that without a strong research base, the giant would sleep forever.

Two years ago, I took my case to the taxpayers of New Jersey. They approved a unique $90 million program to improve our university-based research facilities. Today we have research centers in everything from biotechnology to telematics. These centers bring together state government, private industry, and academic leaders in support of a common goal: Shortening the distance between the laboratory and the salesroom.

New Jersey is not alone, in addition to chairing the NGA subcommittee, I am chairman of the Education Commission of the States. Education is my priority issue. And everywhere I go, I hear state officials talk about initiatives to improve higher education. In the area of high technology research, for example, more than two-thirds of the states have launched various new programs in the past four years.

But we can't do it alone. We depend heavily on support from the federal government. Without a continued commitment from Congress, our efforts will fall short. We will be forced to divert state funds to make up for the missing federal money.

Since 1980, federal support for post-secondary education has eroded. Many governors view with concern the major policy changes in federal student financial aid programs proposed in the administration's fiscal 1986 budget request. These proposals amount to a reduced emphasis on the traditional role of the federal government in ensuring access to post-secondary education. State leaders generally believe that the federal role must be retained. The National Governors' Association would strongly urge the Congress to reaffirm it.

This committee has consistently recognized the importance of the federal role in the education partnership.

As you consider reauthorization of the Higher Education Act, we hope that you will again reaffirm your commitment to our partnership.

Specifically, the NGA urges the subcommittee to:

1. maintain federal support for student financial assistance programs;

2. examine ways to reduce students' increasing debt burden;

3. address the proper balance between grant and loan programs;

4. maintain the Pell grant program as the foundation of student need-based financial assistance;

5. maintain the State Student Incentive Grant Program which has given states incentives to use federal funds to match other forms of needs-based student aid programs and provided states with flexibility to use these funds to match state work-study programs.

The following are some of the governors' specific concerns with the proposed federal policy changes in post-secondary education programs:

Maintenance of Current Student Financial Assistance Programs

We believe that the objective of the federal student financial aid policy -- which is to broaden and equalize educational opportunity across the states -- has been accomplished through the provisions of Pell grants, Guaranteed Student Loans (GSL) and other categorical grant and loan programs. These federal supports have a clear and important record of accomplishment in providing access to low- and mid-income family students to obtain post-secondary education. The overall post-secondary student enrollment has increased from 7.37 million in 1970 to 10.8 million in 1982. Of the total, full-time minority enrollment has increased from 456,000 in 1968 to 1.6 million in 1980. Female student enrollment has increased from 3.53 million in 1970 to 6.39 million in 1982. Furthermore, enrollment of students with family incomes below

$10,000 has increased from 20.8 percent in 1970 to 25.7 percent in 1983. In fiscal 1981, student aid recipients represented about 31 percent of the total enrollment at public institutions. Over 55 percent of all needs-based student aid recipients were women, about one-third were minority students. Current student financial aid programs do achieve what Congress intended and should be maintained.

Growing Debt Burden on Students

The Governors are, however, concerned about the students' growing reliance on loans and the increasing debt burden being assumed by college students. As you are aware, in 1980 loan programs represented 32.2 percent of all federal aid awarded to students. By 1984, loan awards have increased to 47.8 percent of the total. The impact of this change is magnified by the increasing cost of college itself. For example, between 1980 and 1984, the cost of post-secondary education in state institutions has increased at least 67 percent for undergraduate education and 83 percent for graduate education.

Students' increasing reliance on loans is evident because in fiscal 1981, about 20 percent of an undergraduate dependent student aid recipient's education at a public or independent college was paid with loans; by fiscal 1983, it was raised to 23 percent. At independent colleges, the proportion of undergraudate dependent Guaranteed Student Loan recipients increased from 24 percent in fiscal 1979 to 53 percent in fiscal 1983. In both public and independent institutions, it appears that low-income students are relying on student loans in greater numbers than ever before.

For graduate students, the reliance on loans is even greater. In fiscal 1983, 68 percent of the graduate aid recipients at independent colleges obtained Guaranteed Student Loans and 86 percent of them relied on Guaranteed Student Loans in public institutions. The implications of this increasing dependence on loans are linked to the substantial repayment obligations that students will have to face after leaving schools. This increasing debt burden being assumed by students and the effects these debts will have on their career choice are alarming. We urge Congress to examine ways to reduce students' debt burden and address the proper balance between grant and loan programs.

Maintenance of State Student Incentive Grant Programs (SSIG)

The Education Amendments of 1972 established an important federal-state partnership in student financial aid -- the State Student Incentive Grant (SSIG) Programs. By providing funds through SSIG to match state expenditures for grants to undergraduate students, the federal government encouraged all of the states to create or expand programs of need-based student assistance.

Since 1972, the SSIG program has provided valuable resources in the many states that use the funds to match other need-based student aid programs. It provides leverage to stretch the federal dollar -- for every $1 invested by the federal government, $2 in grants are provided to students. Over the years, all states and territories have initiated some type of need-based program, and as the federal commitment grew, so did that of the states. The states' contribution has grown from $400 million in 1974 to $1.4 billion in 1985. In fiscal 1983, about 200,000 students received SSIG grants, and 53.8 percent of them were students from families with income below $10,000.

The administration's fiscal 1986 budget proposal suggests that SSIG should be eliminated because many states have overmatched the federal allocation. The administration's conclusion is that the program has served its purpose for providing incentives to states. This reasoning is not on target. The states' willingness to do more than they must under SSIG signals not the end of the need for SSIG, but the states' recognition of their own responsibility to meet needs that far exceed the federal estimates.

Two-thirds of the SSIG overmatch is in five states. At least a dozen states are able to meet only the minimum match required. Those states that have newer grant programs are particularly dependent on SSIG funds to maintain their need-based grant programs. In eight states the federal share of SSIG funds actually accounts for less than five percent of their state grants. Three of these states (New York, Illinois, and Pennsylvania) contribute more than half of the overmatch nationwide, with New York alone accounting for 36 percent of the total. On the other hand, there are 23 states where SSIG funds plus the state match account for more than 40 percent of the state grant programs, including 15 states where SSIG plus the state match represent more than 80 percent of the available student grants. Of these 23 states, 20 did not have need-based grant programs before SSIG.

Elimination of the SSIG matching grants would have a significantly adverse effect on need-based student aid, especially in small states and in states that have newer grant programs. A recent study conducted by the General Accounting Office (GAO) found that, without federal support, at least a dozen states were likely to terminate entirely their need-based assistance programs because of the other fiscal demands on state resources.

The proposal to terminate federal participation in SSIG fails to recognize the importance of the federal/state partnership developed in providing student aid since 1972. State aid has become an important supplement to the federal aid programs. In addition, SSIG matching grants provide institutions some flexibility in packaging financial aid to students based on demonstrated needs. For state aid programs to grow further requires time and resources, since the states would need to contribute not just the federal matching funds but also the costs of planning and administration. Eliminating or reducing SSIG appropriations would jeopardize the potential of at least 15 to 20 states to continue to develop their need-based aid programs.

There is also the question of future need. Ongoing demographic changes suggest that more students will need governmental assistance to finance their post-secondary education in the future. These students are largely minority, low-income, women and adults who may need specialized education and training. These needs have already prompted many states to re-examine their own roles in post-secondary education. These same forces, we believe, should persuade the federal government to sustain or expand SSIG, not to abandon it.

One approach might be for Congress to allow states to use SSIG to match not only other need-based aid programs, but also state work-study programs and other alternative approaches to assisting students. College work-study works: it enhances education by giving students an immediate source of responsibility. As an instrument of national policy, it is inexpensive, effective, and widely understood.

In addition, Senator Bill Bradley from my state has proposed legislation to make SSIG program based on merit. His proposal would provide incentives for outstanding high school students to receive financial assistance for attending colleges.

Continued Federal Support for Basic and Applied Research

Continued federal commitment to support basic and applied research for scientific and technological advancement is another critical issue we believe requires congressional support. While federal commitment for scientific and defense-related research has been sustained, we are concerned that federal support for maintaining research facilities at universities and the federal commitment to train and prepare a more technical work force have been declining.

More than two-thirds of the states have taken bold steps in partnerships with business, industry, and post-secondary education institutions to bolster the nation's capacity related to science, technology and economic development. While substantial progress is being made through these joint partnerships, a continued strong federal role in support of basic research and development is fundamental to the future capacity of the nation to compete in an increasingly technologically oriented international economy.

Continued Federal Support for Graduate Programs:

Federal support in preparing the nation's work force in a changing economy is an equally critical issue for the reauthorization. The governors believe that federal support for preparing the work force should be in funding programs that address state-identified worker shortages and assure an adequate labor supply in areas requiring special technical and advanced training. Federal support for graduate education has been reduced and the administration's proposed change in student aid programs would have a negative effect on many of the estimated 1.4 million graduate students who are seeking advanced education and training. The categorical programs and graduate fellowship programs that are serving graduate students in special technical areas have been consistently underfunded and are proposed for elimination. These federal actions would reduce the post-secondary education institutions' ability to supply a well-educated work force that can meet the needs of a changing economy. We urge that Congress consider increases in federal support of graduate education through fellowships, traineeships, and training grants that would help to address state-identified skill shortages and professions. Such assistance could well be an investment in our future economic growth.

In addition, federal direction of national research, demonstrations, and data collection activities should be maintained. The governors recognize the need to promote and maintain quality education in all post-secondary education institutions, and many states have undertaken efforts to achieve this goal. We believe that the federal government should contribute to the promotion of excellence by supporting research on issues of national importance to post-secondary education.

In summary, the National Governors' Association would urge the subcommittee to reaffirm the federal role in post-secondary education. While we recognize that the Congress must act to reduce the deficit, the governors support the continuation and maintenance of the federal student assistance aid policy as contained in the current legislation. We believe that the federal government should continue to play an active role in supporting research and development at post-secondary education institutions, in promoting excellence in post-secondary education, and in preparing a work force that can meet the need of economic development. In reexamining and designing federal programs, we hope that there will be coordination among efforts by different levels of government so that these federal programs result in an effective state-federal-institutional partnership in both the funding and delivery of student and institutional assistance.

The governors also feel strongly that any retargeting of federal assistance should be evaluated not only in terms of the impact on current recipients, but also in relation to the future composition of the student population. We urge that Congress will take a careful look at the demographic changes of student population and design federal programs that would also meet the needs of these students. In addition, any revision of federal legislation should provide sufficient lead time for states to make appropriate and necessary adjustments so that program changes would not be disruptive to students and institutions.

The twenty-year partnership between the federal government and state government has positioned us well for a new American resurgence in higher education. The initiatives arising from our campuses and state governments are exciting, they can allow us to meet the challenges ahead of us.

But we need your continued support. We must continue to work together. Only as partners, can we improve the quality of education offered at our colleges and universities, and prepare our citizenry for the challenge into the next century.

The National Governors' Association appreciates very much the time and effort that you have devoted to the post-secondary education issue, and we look forward to working closely with you, members of the subcommittee, and your staff on the reauthorization of the Higher Education Act.

Senator STAFFORD. Thank you very much, Governor, for a very good statement. I think our success in maintaining the funding for the student assistance programs has been due to the combined efforts of Senator Pell and myself, and as long as the firm of Stafford & Pell, or Pell & Stafford is in business, we think we can maintain those programs.

Governor KEAN. It is a wonderful combination.

Senator STAFFORD. You mentioned Trivial Pursuit. The thought passed through my mind that at times here, unwillingly, unwittingly, and ponderously, we seem to be involved in Trivial Pursuit, even when we do not recognize it. But not on this committee. [Laughter.]

I do have a few questions that you could respond to, if you will, and one is, is there a danger that State government involvement in education reform will squelch initiatives coming from the campuses themselves?

Governor KEAN. Yes, I think there is. There really is, because I do not think we can legislative college renewal, not from the State capitals.

But I do not think you have to approach it that way. What we can do I think is create a climate that encourages and supports institutional self-renewal, from the best coming from those particular campuses, but it requires that States challenge educational leaders. It means financial support for the responsible risk-takers, the ones who want to take new ideas and use them.

It requires that we speak out on the importance of higher education and it means confronting the real and complex problems in higher education.

Senator STAFFORD. Governor, do you feel that students today, in your State, are getting their money's worth in the education they get at postsecondary education institutions?

Governor KEAN. I think they are getting their money's worth, but I think that we can do better. I think we really can do better, and a way we can do better, again, I think is to do away with some of the traditional answers, to take risks, to accept challenges, to set goals and make the institutions reexamine their own goals.

That there should be turmoil on the campuses. I think that is something we welcome, not something we are worried about. The more turmoil and the more challenges, and the more people who are challenging traditional wisdom with the goals, the same goals in view, I think the better off we are.

Senator STAFFORD. Thanks. The "Nation at risk" alerted us all to a declining educational product in the elementary and secondary educational systems, and the States have responded with numbers of reforms. Do you think what are being done in this area is working, and do you see anything like it occurring in higher education?

Governor KEAN. The answer is I think it is working. We are starting to see a pattern of rising SAT scores now across the country. We are starting to attract some very good teachers now, in many cases, in our own State, through the alternate route of certification and that is another indicator. But you cannot claim victory; not yet.

If we are going to be successful, to the extent that we are willing to persist in insisting in higher standards for students and teachers, and it is still a very fragile reform in many ways, loss of will, or an economic setback, or a failure to deal with the large number of youth who are still at risk. This could trip us up.

Clearly, though, we are on the right track, and the public is with us, but there are two areas that I think we have got to concentrate on.

One is the renewal of teaching. All States have acted in this area but we face a monumental recruiting task in this decade.

I am convinced that we are in the midst of a fundamental rethinking of the nature and stature of teaching in this country and I welcome that.

The second area for special attention I mentioned, that is the youth at risk, the ones who are going to be left behind, if we are not careful, in the race for higher standards.

Simple justice demands, really, that we help those youth meet the same high standards, but those who are not moved by justice, I hope will be moved by economic reality, because our economy is moving into a situation where we are going to have to have those youths as productive in jobs in the military and civic responsibility, or what have you.

In higher education, again the reform movement is different there, perhaps even more complex, because States, I just do not think you can apply the same "top to bottom" approach that we have in secondary education.

And we do not have the "ringing call" yet for reform that we have had at the secondary level. But I think that we have to give a lot of thought to our definition of the problem, and to the posture that the States should take in order to support a true reform effort that comes from the campuses.

Senator Stafford. Thank you very much, Governor. Senator Pell.

Senator Pell. Thank you very much, Mr. Chairman. I share your thought. That was really a wonderful statement, the portion of it I heard. I look forward to reading the text of what I did not hear, later on. What, Governor, in your own view, do you think should be the proper mix between the grants and the loans? Should it be 50/50, or 70/30?

As you know some years ago, about 10 years ago, the mix was about 75 percent grant and 25 percent loan. It is now about half and half.

An~~d I~~ was just curious as to what your own thinking was?

Governor Kean. I am disturbed at the debt burden that some of our students are now carrying when they get out of educational institutions. It seems to be affecting very, very seriously, their future careers, and their plans.

I would hope that 50/50 is the floor, that we do not get any lower on that mix, because I think there are a number of people who are already educationally disdvantaged and if we add to much debt on top of the disadvantages they already have because of their background: culturally and economically, that you can cripple them.

And so I would hope that 50/50 is the floor, and that we do not get any lower than that in that kind of a mix.

Senator Pell. To my mind, higher education is the road in two directions. In one direction it enhances one's earning capacity; the other direction, or the same direction, parallel, enhances also one's powers of enjoyment of one's leisure. And I am wondering if you think, Governor Kean, that we sometimes put too much emphasis on the former one, the earning enhancement, and not enough on the fact that education has another purpose, and that is to give people a more enjoyable life?

Governor **Kean**. Well, you hit one of my prejudices, I suppose, because my background is a teacher of history, and so I happen to feel that that aspect, the enjoyment of life, the ability to participate in a democracy, the taking part in the culture, is a very, very important part of our educational process, and we do ignore it, to our peril at a number of institutions.

It affects, I say not only the enjoyment of life, but I think the participation in a democracy. If you do not have that background, it is very hard to participate intelligently in this form of government.

And if you do not know, for instance, your own culture and your own history, you are doomed not to enjoy everything from literature, to understanding some of the things that are going on in these great halls.

So I worry about that very, very much. I think we have got a danger of going too much into a simply vocational mode, and I also am interested that many of the employers I talk to who are looking for employees, want somebody with a broader background. They do not want somebody who is only trained in that particular discipline. They want somebody who has got a broader education. So even in the vocational, I think we should make sure that our institutions have some broadening experiences, that there is some broader curriculum, and some understanding of Western culture in particular, and certainly, the way in which our own democracy came to be.

Senator **Pell**. In your own State of New Jersey, do you find that there is an adequate supply of teachers, an adequate supply of young people who want to go into college teaching, or is that turning off from the viewpoint of desirability?

Governor **Kean**. We are concerned about the quality as well as the quantity. The quantity is not a problem, particularly in college teaching at the moment. We are more concerned at the secondary level, and we have been concerned particularly in that in many cases, the lower quarter of the class are the ones who are looking at teaching as a career.

We have tried to address that in a number of ways. We have now passed a minimum salary, for instance, of $18,500, which puts teaching more competitive for those coming out of college.

We have raised the quality. We have got a test now, where a teacher has got to pass a test before they can move into the classroom. We have got an alternate certification route where people who have been in other careers and want to go into teaching do not have to go back to teacher's college and spend a year.

They can move into the classroom if they can pass the test and go for a year's probationary period under strict supervision.

And we are getting, by the way, some extraordinary teachers into the classroom through that method; extraordinary people who just never would have come into the classroom before.

So, we are working on that, but we have addressed it more as a problem in secondary education at the moment, rather than higher education.

We do not have the problem as yet, but we may in the future.

Senator **Pell**. I think we can see the importance of that in all of our own experiences, if we think back to our own education through those years and years and years at a schoolroom desk, and a college desk. You think of that long gray procession of teachers whom you do not remember. Then you remember a few who somehow sparked a certain interest and you can remember their names, their peculiarities and everything else.

Governor **Kean**. I might say one thing on that basis. One of the other things we moved into is a teacher recognition program, so we can find those teachers who are the kind I remember and you remember, and Senator Stafford remembers because they really are some of the people who made us what we are, and can recognize them, in our case, with $1,000 grants, and make them the teacher in each school building for a year.

And I think that kind of recognition will keep those great people in the classroom rather than luring them perhaps into administration or into another profession.

Senator **Pell**. That is why I am not willing to throw out of the window the concept of merit awards for teachers, as long as those who actually teach participate in the process.

Governor **Kean**. That is rigbt.

Senator **Pell**. Thank you for your excellent testimony. I would just like to add, I am very proud to be a member of the firm of Stafford & Pell, and maybe someday it will be Pell & Stafford again, but either way, I am delighted to be a member of that firm.

Senator **Stafford**. Thank you, Claiborne, and thank you very much, Governor, for helping us this morning. We really appreciate it.

Governor **Kean**. Thank you, Senator. If I can say one final thing and——

Senator **Stafford**. Certainly.

Governor **Kean** [continuing]. It is probably off the subject, except coming from New Jersey I have to say it. I want to thank you for your leadership on Superfund, and say, from the State of New Jersey, all of us thank both of you and wish you luck today on the floor.

Senator **Stafford**. Thank you, Governor. We are going to vote on that very issue this afternoon at 1 o'clock.

Governor **Kean**. I know. We are with you.

Senator **Stafford**. Good, good. The committee will next hear from a panel and that panel will consist of the Honorable Florence L. Robillard, chairman of the Education Subcommittee of the Vermont General Assembly Senate; and the Honorable Wilhelmina Delco, chairman, Higher Education Committee of the Texas State House of Representatives, Austin, TX; and Mr. Harry M. Snyder, executive director, Kentucky Council on Higher Education, Frankfort, KY; and Mr. Dennis A. Obergfell, director, loan division, State Student Assistance Commission of Indiana.

If you could come to the witness table. It would be the Chair's intent to call you in the order in which we announced your names.

We would ask you, since the Senate is in session, and we face certain deadlines and the possibility of rollcalls, if you could limit your oral statements to about 5 minutes, and the Chair will have an eye on the clock. Let me tell you that your full statements will appear in the record as if read, and we always hate to have to ask this because we know how much time and effort you put into being here, but we want the full statements in the record because many of the members are at other committees this morning, or some are over on the floor in preparation for the 1 o'clock vote on Superfund.

I think it is won, so I am not worrying about it right now. I do have to say that it is particularly a pleasure to me personally to have another resident of Vermont from my own part of the State here, and Flossie Robillard, I have known her a long time—I will not say how long, Flossie, because that will give my age away, not yours.

Anyway, you are the lead witness and we are very glad you are here.

STATEMENT OF HON. FLORENCE L. ROBILLARD, CHAIRMAN, EDUCATION SUBCOMMITTEE, VERMONT SENATE, MENDON, VT; HON. WILHELMINA DELCO, CHAIRMAN, HIGHER EDUCATION COMMITTEE, TEXAS STATE HOUSE OF REPRESENTATIVES, AUSTIN, TX; HARRY M. SNYDER, EXECUTIVE DIRECTOR, KENTUCKY COUNCIL ON HIGHER EDUCATION, FRANKFORT, KY; AND DENNIS A. OBERGFELL, DIRECTOR, LOAN DIVISION, STATE STUDENT ASSISTANCE COMMISSION OF INDIANA, INDIANAPOLIS, IN

Mrs. ROBILLARD. Thank you. Mr. Chairman, and members of the subcommittee, for the record, my name is Senator Flossie Robillard, chairperson of the Senate Education Committee for the Vermont General Assembly.

I appreciate the opportunity to testify before your committee on the reauthorization of the Higher Education Act.

My remarks will focus on personal views, experiences, and thoughtful recommendations. I am no stranger to the educational arena. I am a graduate of a State teachers college with graduate work in special education and administration.

My initial vocation was that of a classroom teacher, but through my avocation of politics I have become an elected official. I serve as a member of the house education committee, a delegate to the education commission of the States, and served 6 years as a member of the Vermont Higher Education Planning Commission, and I also have been employed in the private sector.

This latter experience afforded me the opportunity to see firsthand, what the marketplace was all about.

I returned to public office in 1984 and my present position is Chair of the Senate Education Committee. I am also a member of the New England Higher Education Board.

My State of Vermont is a rural State, small, with a population of approximately 550,000 people. We have 17 private/independent institutions of higher education and 6 public institutions.

Together, these facilities generate over $600 million of revenue for our Vermont economy.

I need not remind the members of this committee that higher education is a business and a viable industry. It is a clean industry. It is a clean environment in which to work.

It is an industry that is hurting and needs more than a Band-aid for repair. We are fortunate to have within our State borders the public nonprofit corporation of VSAC, better known as the Vermont Student Assistance Corporation. This organization administers and coordinates the following major programs: Incentive grants and scholarships. Guaranteed student loans and PLUS loans. Vermont's secondary market for student loans. Information and Outreach services.

State-based work study program. Math/science loan forgiveness program. Grant program for the unemployed Vermonter, and last, part-time grant program.

I am very well acquainted with the grassroots work of VSAC as my late husband was a charter member of the original board, and I sponsored legislation that enabled the same financial opportunities to students going on to 2-year and proprietary institutions as those to 4-year institutions.

It has been obvious to me that VSAC Outreach counseling done at the high school level and at the State level is most advantageous for both the student and the parent.

When a problem is evident, the toll-free line to the VSAC office is readily available to discuss a Federal grant problem or a technical loan package.

We find many applicants are first generation students seeking higher education and the paperwork sometimes becomes a problem.

We should concentrate our efforts on funding the student directly from their respective State loan and scholarship agency. By funding the student directly, a layer of administration is removed with the added dimension of making the academic community more competitive.

The present indicators surfacing in Vermont show an increase in the older student, especially the part-time student.

We are looking at individuals who are forced by divorce, death of a spouse, or a career change, to re-enter the work force with limited or antiquated skills. We must assist this older and part-time student.

I realize others have spoken more directly on finances regarding higher education but I wish to emphasize that we are all aware of the dramatic increase in costs of a college education over the past 10 years. Yet Federal aid has not kept pace with these increases.

New England has led the Nation as a whole in the percentage of its population who have graduated from high school and college.

We in Vermont are proud of our heritage for a good work ethic and stable workforce. Yet our salaries in many areas, especially education, are low. We need Federal tax incentives to employers to assist students, in particular, the adult student.

Our educational system from the elementary grades through higher education must forge a coalition with industry and government, which reflects the current needs for economic development that are currently taking place. Faculties, in general, need to acquaint themselves with the changes that are taking place in the work world.

For example, No. 1, the need for hands-on experience by faculty. No. 2, flexible curriculum for students, and last, students need to accept the philosophy of many carrer changes as he or she grows in the workforce.

Our young people will be facing a more competitive and computerized workplace than many of their instructors could imagine. Thus, the need for flexibility.

It is obvious to all of us here today, that future action in the educational arena, from the trades to higher education—and we cannot talk about higher education unless we include elementary and secondary education as a component, will be impacted by the actions of this committee and other political forces.

If I may, I wish to conclude by leaving you with the following recommendations. I refer to them as the three A's.

Priority No. 1, our educational institutions must be *accessible.* Priority No. 2, our actions must be *accountable,* and. Priority No. 3, our graduated product must be *acceptable* to the marketplace.

Thank you for your attention and I appreciate the time to share some common thoughts and concerns with the committee, Mr. Chairman.

[Responses of Senator Robillard to questions submitted by Senator Hatch follows:]

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Committees:
Education
Chairman
Judiciary

STATE OF VERMONT
SENATE CHAMBERS
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October 11, 1985

The Honorable Robert T. Stafford
Chairman
Subcommittee on Education,
Arts and Humanities
SD-428 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Bob,

I enjoyed testifying before your Committee and am pleased to respond to the Higher Education Reauthorization questions raised by Senator Hatch.

Question #1: The proper division of responsibility between student, parents or other family, educational institution, the private sector, and government in financing postsecondary education.

Response: I believe that parents have the predominant responsibility for financing their childrens' education. However, in the event that the family has inadequate resources to pay for the cost of education, it is the responsibility of the federal government to assure that both access and choice are achievable goals for the student. The efforts of the federal government should be augmented by contributions both from the states and the private sector.

Question #2: The proper balance between loans, grants, and work in financial aid packages in order to ensure a student's maximization of his education.

Response: It is important that a proper balance be maintained between loans, grants, and work. Ideally, grants should be the major resource with loans and work providing the remainder of the student's needs. It is, however, important to ensure that the loan limits are raised to assure both access and choice for needy students at all institutions regardless of their family's income.

Not Printed at State Expense

Question #3: Whether or not more resources for financial aid should be channeled to institutions for disbursement through them to students and why.

Response: It is important that the majority of aid be channelled directly to students so they can select the college of their choice and not have to go to the school that offers them the most money. The focus of aid programs should be on funds flowing to students directly, i.e., Pell Grants, State Grants and Guaranteed Student Loans.

Question #4: Whether or not, and how, greater concern with a student's educational achievement levels should be made a part of criteria for financial aid.

Response: The current system of monitoring Satisfactory Academic Progress through the educational institutions appears to be working very well.

Sincerely,

Flossie

Florence L. Robillard
Vermont State Senator

FLR/bp

Senator **Stafford**. Thank you, Flossie. I knew that anybody who lived within 20 miles of Calvin Coolidge's birthplace would be able to give us a forceful message in 5 minutes or less.

Mrs. **Robillard**. Thank you, sir.

Senator **Stafford**. Representative Delco, we will be happy to hear from you.

Mrs. **Delco**. Thank you very much, Senator Stafford, and I appreciate the opportunity to address you and your committee this morning on behalf of the National Conference of State Legislatures.

For the record, I, too, would like to give some credentials for myself. I represent Austin, TX, in the Texas Legislature and serve as chair of the Committee on Higher Education.

I also am vice chair of the Education Commission of the States and I chair the Legislative Advisory Council for the Southern Regional Educational Board and serve as vice chair of the Educational Testing Service, and as vice chair of the National Black Caucus of State Legislators.

I have provided you with extensive testimony that deals essentially with three areas and I would like to briefly summarize those areas.

Two of them have already been addressed earlier, and so I would like to just emphasize those concerns from the standpoint of the National Conference of State Legislatures.

Senator **Stafford**. As I said, all of your statement will appear in the record, as if you had read it.

Mrs. **Delco**. Yes, I understand that and appreciate it, but we felt that some of the things that we were saying needed thorough documentation and that is the reason for the length of the statement.

First of all, the continuing importance of the Federal and State partnership in higher education. It is critically important as we look at providing education as a cornerstone for economic growth, that the Federal Government continue its role primarily in financial aids and in research.

We think that in our own State of Texas, where we are making a concerted effort to increase the dollars that we appropriate to research, that it is important that the Federal Government continue to act as partners with us in this critical area.

For the National Conference of State Legislators, we have taken a very strong policy position on the importance of continued student financial aid in what was suggested earlier as an approximate, at least 50/50 partnership, and not only a partnership that talks in terms of the full-time student, but increasingly, the part time and nontraditional student. NCSL feels very strongly that as our school-age population gets older, that it is important to provide access and quality to those students.

Briefly, I would like to also comment on liberal arts education, because as we talk about providing job skills, Senator Pell's comments were particularly appropriate, that the quality of life, and as Governor Kean said, the education of illiterate citizenry is just as important, and as we seek the high-technology dollars and the high-skilled trades, it is important to remember that those people also have to vote and participate in the greater society because our democracy is founded on the premise that our citizenry is a literate one.

In our individual States, we have gone, in Texas, for example, after large numbers of endowed chairs to deal with the wave of the future, that is, computer science, business administration, and high technology in its various forms.

But it is also important that we pursue dollars just as vigorously that deal with the liberal arts, and those areas of higher education that make us well-rounded citizens.

I would like to reserve the balance of my time for an area that I suspect I will emphasize to a greater degree than other members of this panel will, and that is the critical importance of support by your committee and this Congress for historically black institutions. The National Conference of State Legislatures has taken a policy position in this area and it is a strong one.

It is to say that in our society there is a strong role for historically black colleges. I talked in my paper extensively about the history of these institutions and the products of these institutions, not just the fact that a large number of black youngsters but increasingly nonblack youngsters attend these institutions, but that they have emphasized citizenship and leadership as much as subject content, and have produced, in fact, a lot of the leaders in our States and in our communities in terms of civic responsibility.

If we are going to continue to talk about quality and access, clearly statistics like the ones we have in the State of Texas, that talk about increasingly black students are not participating in higher education to the extent that they could, we are losing minds, we are losing talent, we are losing the kinds of resources that our country desperately needs.

In our State, 72 percent of blacks graduate from high school; 29 percent who graduate from high school enter college.

Of those who enter college, 12 percent graduate from college, or 12 percent of the total population actually graduate from college. Of 8 percent who enter graduate or professional school only 4 percent graduate from graduate and professional school.

Clearly there is a resource here that we are not utilizing. Historically black colleges have made valiant efforts through the years to educate that aspect of the population that has not been adequately addressed in the past, nor will they be addressed in the foreseeable future.

We urgently ask you to reconsider the strong support that you, Senator Stafford, have traditionally provided for the reauthorization of support for the title III developing institutions, particularly with emphasis on historically black colleges.

I appreciate the opportunity to talk to you and would be glad to answer questions, but in the interests of time, would simply like to repeat that the National Conference of State Legislatures strongly supports the reauthorization of this legislation and emphasizes these critical areas.

[The prepared statement of Representative Delco follows:]

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REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1985

TESTIMONY OF

STATE REPRESENTATIVE WILHELMINA DELCO

BEFORE THE SUBCOMMITTEE ON EDUCATION, ARTS, AND HUMANITIES

UNITED STATES SENATE

SEPTEMBER 26, 1985

ON BEHALF OF THE NATIONAL CONFERENCE OF STATE LEGISLATURES, I WOULD LIKE TO THANK THE SUBCOMMITTEE AND ITS CHAIRMAN, SENATOR ROBERT T. STAFFORD, FOR EXTENDING ITS INVITATION TO TESTIFY ON THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1985. I WILL SPEAK SPECIFICALLY TO THREE AREAS WHICH I FEEL ARE OF SPECIAL SIGNIFICANCE TO THIS COUNTRY'S SYSTEM OF HIGHER EDUCATION.

1) THE ROLES OF THE FEDERAL AND STATE GOVERNMENTS IN SUPPORTING HIGHER EDUCATION; 2) THE IMPORTANCE OF CONTINUING TO STRENGTHEN OUR HISTORICALLY BLACK INSTITUTIONS OF HIGHER EDUCATION; AND 3) THE VALUE AND WORTH OF A LIBERAL ARTS EDUCATION - A TOPIC THAT DOES NOT SEEM TO GET MUCH PLAY THESE DAYS.

AS THIS YEAR'S COLLEGE SENIORS WILL STRUGGLE TO FIND JOBS IN A TIGHT MARKET, SO STUDENTS ENTERING AND RETURNING TO COLLEGE CAMPUSES THIS FALL WILL FACE FINANCIAL PROBLEMS OF THEIR OWN DUE TO EVER SOARING COSTS OF EDUCATION.

IN COMPARISON WITH RECENT YEARS, 1984-85 HIGHER EDUCATION OPERATION APPROPRIATIONS SHOW A SHRINKING OF CURRENT DOLLAR INCREASES NATIONWIDE. THE NATIONAL RATE IS DOWN BY ABOUT 4%. AS A PERCENT OF STATE TAXES, HIGHER EDUCATION APPROPRIATIONS PEAKED IN 1975-76 AND HAVE STEADILY DECLINED SINCE THIS PERIOD.

IN THE AREA OF TUITION AND FEES, INSTITUTIONS, PUBLIC AND PRIVATE, ARE BEING FORCED TO SHIFT MORE OF THE BURDEN OF THE COST OF PROVIDING AN EDUCATION TO THE STUDENT. THE AVERAGE INCREASE IN TUITION AND FEES IS RUNNING AT 10-15% NATIONWIDE AMONG PUBLIC

AND PRIVATE INSTITUTIONS.

NEXT YEAR THE TOTAL BILL (TUITION, ROOM, BOARD, AND FEES) FOR ONE YEAR AT A PRIVATE COLLEGE IS EXPECTED TO JUMP AS MUCH AS 12% FROM AN AVERAGE OF $7,475 TO MORE THAN $8,300; THE AVERAGE COST TO ATTEND A PUBLIC INSTITUTION OF HIGHER EDUCATION MAY RISE FROM $4,388 TO $4,800. THE SCHOOLS MOST AT RISK ARE THE SMALLER, LESS PROMINENT PRIVATE COLLEGES, WHERE HIGHER TUITION AND FEES WILL RESULT IN POTENTIAL STUDENTS TURNING TO THE LOWER COST PUBLIC INSTITUTIONS FOR THEIR HIGHER EDUCATION. ESPECIALLY AT RISK HERE ARE THE PRIVATE, HISTORICALLY BLACK INSTITUTIONS.

IN THE AREA OF FACULTY SALARIES, THE ACADEMIC COMMUNITY HAS BEEN MUCH CONCERNED ABOUT THE EROSION OF FACULTY SALARIES BY INFLATION. ACCORDING TO AN ECONOMIC ANALYSIS BY THE AMERICAN ASSOCIATION OF UNIVERSITY PROFESSORS, THE INCREASES IN FACULTY SALARIES (MEASURED IN CURRENT DOLLARS DURING THE DECADE 1970-79) LEFT FACULTY SALARIES NEARLY 21% BELOW THE 1970-71 REAL DOLLAR LEVEL OF SALARIES; FROM 1976-77 TO 1981-82, FACULTY SALARIES-IN REAL DOLLARS-FELL BY ALMOST 12%.

ECONOMIC REALITIES, EDUCATIONAL TRENDS, AND PERCEPTIONS OF THE FUTURE AFFECT STUDENTS AND THEIR PREFERENCES IN HIGHER EDUCATION. RECENT ENROLLMENT DATA SHOW THAT PART-TIME STUDENTS ARE ENROLLING IN GREATER NUMBERS THAN FULL-TIME STUDENTS. ENROLLMENT AT PUBLIC FOUR-YEAR INSTITUTIONS, WHICH ARE USUALLY ATTENDED BY TRADITIONAL, 18 TO 24 YEAR OLD, FULL-TIME STUDENTS, IS GROWING AT A MUCH SLOWER RATE THAN AT OTHER TYPES OF INSTITUTIONS

AND, IN MANY CASES, IS STATIC. FURTHERMORE, RECENT TRENDS INDICATE THAT THE GROWTH OF BLACK ENROLLMENT IS SLOWING AND ONCE AGAIN ACCESSIBILITY VS. QUALITY IS BECOMING AN ISSUE.

INCREASING TUITION AND FEES, EVER INCREASING EDUCATIONAL COSTS, SHRINKING STATE AND FEDERAL APPROPRIATIONS IN THE AREAS OF STUDENT ENTITLEMENT GRANTS AND RESEARCH, AND SLOWING OR STATIC ENROLLMENT ALL CONTRIBUTE TO A DESPERATE SITUATION FOR MANY STUDENTS AND FOR OUR COLLEGES AND UNIVERSITIES, BUT ALSO TO A GOLDEN OPPORTUNITY FOR ACTION BY THOSE RESPONSIBLE FOR DEVELOPING AND ENACTING POLICY, SUCH AS THE LEGISLATION UNDER CONSIDERATION TODAY.

IN ADDITION TO THE PROBLEMS RELATED TO FINANCE AND ENROLLMENT TO OUR HIGHER EDUCATION INSTITUTIONS, OTHER AREAS ON CAMPUSES HAVE BEEN CITED AS IN NEED OF SERIOUS ATTENTION. FOR EXAMPLE, COMPETENCY TESTING OF TEACHERS AND EDUCATION MAJORS HAVE DEMONSTRATED THAT BOTH ARE, IN GENERAL, BELOW DESIRABLE STANDARDS IN THE BASIC SKILLS BECAUSE OF A LACK OF AWARENESS ON THE PART OF BOTH STATE AND FEDERAL GOVERNMENTS TO MAKE FUNDING OF TEACHER EDUCATION AND THE TEACHING PROFESSION A MAJOR PRIORITY. BUILDINGS ON OUR COLLEGE AND UNIVERSITY CAMPUSES ARE DETERIORATING AS A RESULT OF THE SUSPENSION OF NEEDED MAINTENANCE. THERE HAS BEEN A DISMAL DECLINE IN RENOVATION OF EXISTING FACILITIES AND CONSTRUCTION OF NEW FACILITIES DUE TO DECLINING REVENUES AND SLOWING ENROLLMENT GROWTH. EQUIPMENT IN LABORATORIES, CLASSROOMS, AND OFFICES IS RAPIDLY BECOMING OBSOLETE.

IT IS MY SINCERE HOPE THAT THIS SUBCOMMITTEE, AND THE CONGRESS, WILL STUDY RESEARCH BY SCHOLARS WHO MADE IT THEIR LIFE'S WORK TO PRESERVE THE FRUITS OF ENLIGHTENMENT. TODAY WE ARE CAUGHT IN A TIDE OF SPACE AGE TECHNOLOGICAL CHANGE IN WHICH EXCELLENCE IN EDUCATION IS FAST BECOMING A FUNDAMENTAL INSTRUMENT OF SURVIVAL AND ABSOLUTE NECESSITY FOR OPPORTUNITY AND SECURITY FOR OUR NATION.

TODAY, AS NEVER BEFORE, YOU, THE LEADERSHIP OF THIS COUNTRY, MUST BE UNITED IN DEDICATION TO A GROWING AND BETTER EDUCATIONAL SYSTEM AS THE VITAL KEY TO OUR FUTURE.

IN THE BEGINNING, THE JOB OF ESTABLISHING, SUPPORTING, MAINTAINING, AND PROVIDING EDUCATIONAL SERVICES TO OUR PEOPLE WAS LEFT TO THE STATES. IT WAS THOUGHT THAT EACH STATE HAD THE ABILITY TO BETTER ASSESS THE EDUCATIONAL NEEDS OF, AND MORE EFFECTIVELY AND EFFICIENTLY DELIVER EDUCATIONAL SERVICES TO ITS CITIZENRY THAN THE FEDERAL GOVERNMENT. HOWEVER, PERHAPS HEEDING THE WORDS OF ALEXANDER POPE THAT ". . . EDUCATION FORMS THE COMMON MIND. . ." THE FEDERAL GOVERNMENT ENTERED THE FIELD OF HIGHER EDUCATION AROUND THE MIDDLE OF THE 19TH CENTURY.

NOT UNTIL THE 1850S DID THE NEED FOR A DIFFERENT KIND OF HIGHER EDUCATION BECOME EVIDENT ENOUGH TO BE FELT IN WASHINGTON, D.C. PRESIDENT BUCHANAN IN 1859 VETOED THE FIRST MORRILL ACT TO CREATE LAND-GRANT AGRICULTURAL COLLEGES. SOCIETY'S NEEDS, AS ARTICULATED BY SOME EDUCATORS AND POLITICAL LEADERS, HAD LED TO ACTION BY THE U.S. CONGRESS TO ALTER THE FORM OF HIGHER EDUCATION

OR CREATE A NEW FORM. THE TRADITIONAL COLLEGES AND UNIVERSITIES, PRIVATE AND PUBLIC, FOCUSED UPON EDUCATING GENTLEMEN. THEY PREPARED THEIR GRADUATES FOR THE PROFESSIONS. THEIR CURRICULA WERE BASED UPON THE ASSUMPTIONS THAT KNOWLEDGE WAS FINITE, MOST OF IT ALREADY ACCUMULATED, AND THAT A COLLEGE'S JOB WAS TO PUT AS MUCH OF THIS KNOWLEDGE AS POSSIBLE INTO THE HEADS OF UNDERGRADUATE STUDENTS. CONSEQUENTLY, THE CURRICULA WERE CLASSICAL, THAT IS, THEY CONSISTED OF LANGUAGES, MATHEMATICS, HISTORY, LITERATURE, AND SOME SCIENCE. IT WAS ASSUMED THAT THESE SUBJECTS ESTABLISHED MENTAL DISCIPLINE WITHIN THE INDIVIDUAL AND DEVELOPED HIS MIND THROUGH THE EXERCISE OF THE INTELLECT.

BY THE MIDDLE OF THE LAST CENTURY, THE NEED FOR MORE PRACTICAL AND APPLIED EDUCATION HAD BECOME APPARENT. CONGRESS, UNDETERRED BY THE VETO OF ITS LAND-GRANT PROGRAM, PASSED AGAIN, AND PRESIDENT LINCOLN SIGNED INTO LAW IN 1862, THE MORRILL ACT, WHICH CREATED COLLEGES FOR THE AGRICULTURAL AND MECHANICAL ARTS. THE SECOND MORRILL ACT PROVIDED FOR ANNUAL FEDERAL EXPENDITURES TO SUPPORT THE LAND-GRANT COLLEGES. IT ALSO STIPULATED THAT THESE FEDERAL FUNDS COULD NOT BE USED TO SUPPORT THE TRADITIONAL SCIENTIFIC AND CLASSICAL STUDIES FROM WHICH DIRECTION THE NEW INSTITUTIONS WERE BEING ASKED TO CHANGE. THE ADDITIONAL FEDERAL FUNDS PROVIDED FOR APPLIED SUBJECTS STIMULATED THE NEW SCHOOLS TO MOVE AHEAD IN TEACHING THE PRACTICAL ARTS.

THESE DEVELOPMENTS INCREASED THE COLLEGES' CAPACITY TO ENROLL MORE STUDENTS. THEIR NEW PURPOSE, THEIR GEOGRAPHIC LOCATION, AND THEIR ATTITUDE TOWARD A NEW STUDENT CLIENTELE EXTENDED EDUCATIONAL OPPORTUNITIES TO A LARGE SEGMENT OF THE POPULATION NOT PREVIOUSLY SERVED.

THESE DEVELOPMENTS IN HIGHER EDUCATION ALSO HAD THE EFFECT OF EITHER CAUSING THE STATES OR THE INSTITUTIONS, FOUNDED ON THE LIBERAL ARTS, THE CLASSICS, AND THE HUMANITIES, TO MAKE CHANGES IN THEIR CURRICULA TO ACCOMMODATE THE CHANGING STUDENT CLIENTELE AND, OF COURSE, THE NEW FEDERAL FUNDING SOURCES.

SKIPPING AHEAD ABOUT 50 YEARS, DURING WORLD WAR II, UNIVERSITIES WERE IN CLOSE STEP WITH THE COUNTRY AS THEY TURNED THEIR RESOURCES TO SUPPORT THE WAR EFFORT. THEY PREPARED THE MEN, AND SOME WOMEN, FOR SERVICE IN THE MILITARY. EDUCATION WAS FOR READYING FOR WAR ACTIVITIES FOR THOSE WHO PASSED THROUGH THE COLLEGES' HALLS. THE RESEARCH DONE, THE CONVERSION OF PURE RESEARCH TO APPLIED PURPOSES WAS PART OF THE WAR EFFORT AS WELL.

AFTER THE SECOND WORLD WAR AND KOREAN WAR, VETERANS WERE DISCHARGED AND DUMPED ON THE JOB MARKET WITHIN A RELATIVELY SHORT PERIOD. POSTWAR DEMOBILIZATION PLANS INCLUDED EFFORTS TO KEEP THE COUNTRY FROM SINKING BACK INTO THE DEPRESSION FROM WHICH WARTIME INDUSTRIAL PRODUCTION HAD RAISED IT.

THE GI BILL WAS IMMENSELY SUCCESSFUL. THE SOCIETY BENEFITED AND THE LIVES AND CAREERS OF INDIVIDUALS WERE ENHANCED. FROM A STRICTLY FISCAL POINT OF VIEW, THE ESTIMATED TAX REVENUE

INCREASES FROM HIGHER INCOMES ATTRIBUTABLE TO COLLEGE EDUCATION MANY TIMES REPAID THE ORIGINAL GOVERNMENT OUTLAY FOR EDUCATING THE VETERANS.

BUT THE GI BILL WAS A DESIRABLE PROGRAM FOR ANOTHER REASON. IN THE MID-1950S, THE PUBLIC CAME TO RECOGNIZE THE ADVANTAGES A COLLEGE DEGREE PROVIDED FOR CHANCES OF SUCCESS IN AMERICAN SOCIETY.

MORE RECENTLY, BEGINNING IN THE LATE 1950S WITH THE LAUNCH OF SPUTNIK AND THE BEGINNING OF THE SPACE RACE, THE FEDERAL GOVERNMENT BEGAN MASSIVE FUNDING PROGRAMS FOR HIGHER EDUCATION STARTING WITH THE NATIONAL DEFENSE EDUCATION ACT. OVER THE NEXT TEN YEARS THE DEPARTMENT OF DEFENSE, THE DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE, THE OFFICE OF EDUCATION, AS WELL AS ALMOST EVERY OTHER FEDERAL AGENCY DEVELOPED PROGRAMS TO TIE INTO COLLEGES AND UNIVERSITIES. THE DEFENSE DEPARTMENT AND THE MILITARY SERVICES ALL FOUND IT BENEFICIAL TO DEVELOP PROGRAMS DRAWING UPON HIGHER EDUCATION AND PROMOTING NEW STRENGTHS IN SELECTED UNIVERSITIES. GOVERNMENT AGENCIES TURNED TO HIGHER EDUCATION FOR HELP ON SPECIFIC PROBLEMS, BOTH FOR RESEARCH AND FOR TRAINING PEOPLE IN THE SPECIALIZED FIELDS REQUIRED IN AN INCREASINGLY TECHNOLOGICAL AND INTERNATIONAL SOCIETY. GOVERNMENT AGENCIES PROMOTED HIGHER EDUCATION'S FURTHER INVOLVEMENT IN HEALTH, NATURAL RESOURCES, SPACE, SOCIAL PROBLEMS, AND THE PREPARATION OF QUALIFIED ADMINISTRATORS AND SPECIALISTS FOR GOVERNMENT. THE U.S. DEPARTMENT OF EDUCATION ESPECIALLY, FORMERLY STAFFED BY

MONOGRAPH WRITERS, STATISTICIANS, AND EDUCATORS, HAD TO CONVERT TO AN EXECUTIVE AGENCY ADMINISTERING BILLIONS OF DOLLARS IN GRANTS AND LOANS. THE FEDERAL GOVERNMENT WAS IN THE HIGHER EDUCATION BUSINESS FOR GOOD.

QUALIFICATIONS FOR ADVANCEMENT AND HIRING ROSE MAKING COLLEGE EDUCATION NOT JUST DESIRABLE BUT A BASIC REQUIREMENT. COMING UP THROUGH THE RANKS NO LONGER ADEQUATELY PREPARED PEOPLE TO FILL EXECUTIVE OR EVEN MIDDLE-MANAGEMENT POSITIONS. THE WORLD WAR II VETERANS WHO HAD ACQUIRED COLLEGE DEGREES UPON RETURNING FROM MILITARY DUTY WERE DOING WELL. THEY WERE CLEAR EVIDENCE OF WHAT AN EDUCATION COULD DO FOR A CAREER. THEY RAISED THE STANDARDS AND THE EXPECTATIONS OF EMPLOYERS; AND AS THEY THEMSELVES BECAME THE EMPLOYERS AND THE SUPERVISORS AND THE EXECUTIVES THEY EXPECTED BETTER EDUCATED MEN AND WOMEN AROUND THEM. INDIVIDUALS FROM MODEST TO POOR ECONOMIC BACKGROUNDS COULD RISE TO POSITIONS OF INCREASING RESPONSIBILITY, IF THEY HAD A COLLEGE DEGREE.

BY THE 60S, THE POPULATION EXPLOSION CREATED BY THE BABY BOOM AFTER WORLD WAR II MOVED INTO THE COLLEGE-GOING AGE-GROUP. THESE STUDENTS WANTED A COLLEGE EDUCATION AND THEIR PARENTS HAVING SEEN AND EXPERIENCED WHAT A DEGREE COULD DO FOR GRADUATES, AGREED WITH THEM. WITH THE PRESSURE OF SUCH LARGE NUMBERS OF STUDENTS, COLLEGES AND UNIVERSITIES HAD TO EXPAND QUICKLY, AND THEY CALLED FOR HELP. THE FEDERAL GOVERNMENT RESPONDED TO THE ADDITIONAL POLITICAL PRESSURE TO ASSIST HIGHER EDUCATION. THE GOVERNMENT PROVIDED GRANTS AND LOANS TO THE SCHOOLS TO CONSTRUCT

DORMITORIES AND CLASSROOMS AND LABORATORIES AND LIBRARIES AND ALMOST EVERY TYPE OF FACILITY NEEDED FOR THE CRUSH OF YOUNG PEOPLE ARRIVING ON THE CAMPUSES. WHEN STUDENTS COULD NOT AFFORD TO ATTEND COLLEGE, CONGRESS OVERCAME THE ECONOMIC BARRIERS BY PROVIDING MORE STUDENT GRANTS, WORK-STUDY PROGRAMS, COOPERATIVE EDUCATION PROGRAMS, AND DIRECT AND INSURED LOANS TO STUDENTS.

WITH THIS LARGE DISBURSEMENT OF FEDERAL MONEY, THE ISSUE OF EQUITY WAS RAISED. THE BENEFITS, WHICH LARGE SEGMENTS OF THE SOCIETY RECEIVED FROM COLLEGE EDUCATION, HAD BEEN LARGELY DENIED MEMBERS OF MINORITY GROUPS. CONCURRENTLY WITH THE EXPANSION OF EDUCATIONAL PROGRAMS, THE IDEA GREW THAT PAST INJUSTICES AND DEPRIVATION IN THE LARGER SOCIETY MIGHT BE CORRECTED THROUGH THE EDUCATIONAL INSTITUTIONS. EARLY EFFORTS IN THIS DIRECTION IN THE 1960S REQUIRED THAT FEDERAL FUNDS FROM THE EDUCATION-AID PROGRAMS BE PROVIDED ONLY ON THE CONDITION THAT ALL DISCRIMINATION BE REMOVED FROM ADMISSION POLICIES, FROM HIRING AND RECRUITMENT POLICIES, AND EVEN FROM CONTRACTS FOR CONSTRUCTION OF FACILITIES. WE ARE, AS YOU KNOW, STILL FIGHTING THIS BATTLE.

IT IS CLEAR THAT OVER THE PAST 130 YEARS THE FEDERAL GOVERNMENT'S ROLE IN HIGHER EDUCATION HAS GROWN AND EVOLVED INTO A MAJOR AND NECESSARY FACTOR IN THE MAINTENANCE OF THIS COUNTRY'S SYSTEM OF HIGHER EDUCATION. TODAY THE MAJOR PORTION OF FUNDING FOR RESEARCH AND STUDENT FINANCIAL ASSISTANCE IS FROM FEDERAL SOURCES. IF WE ARE TO NOT ONLY MAINTAIN OUR SYSTEM OF HIGHER EDUCATION BUT, INDEED, TO MAKE THE MOST OF THIS COUNTRY'S YOUNG

MINDS, IT IS IMPERATIVE THAT THIS ROLE CONTINUES TO ENCOURAGE AND STRESS ACCESS AND QUALITY THROUGH THE FAIR AND EQUITABLE DISTRIBUTION OF GRANTS IN AID TO THE INSTITUTIONS AND STUDENTS, PAYING PARTICULAR ATTENTION TO INSURING THAT ALL INSTITUTIONS, E.G., THE SMALL SCHOOLS, SPECIAL PURPOSE SCHOOLS, AND THE HISTORICALLY BLACK SCHOOLS, RECEIVE A FAIR SHARE OF FEDERAL DOLLARS.

AS FOR THE ROLE OF THE STATES IN HIGHER EDUCATION, IT CONTINUES TO BE WHAT IT HAS ALWAYS BEEN - TO ESTABLISH, SUPPORT, AND MAINTAIN THESE INSTITUTIONS, TO INSURE MAXIMUM ACCESSIBILITY TO THEIR CITIZENRY, AND TO INSURE THAT THEIR INSTITUTIONS OFFER A QUALITY EDUCATION TO THEIR STUDENTS.

IT IS THE DUAL ISSUES OF QUALITY AND ACCESSIBILITY WHICH WE AT THE STATE LEVEL FIND OURSELVES PREOCCUPIED WITH TODAY. SOME INDIVIDUALS IN ACADEMIA AND GOVERNMENT FEEL THAT IN ORDER TO HAVE MAXIMUM ACCESSIBILITY QUALITY MUST BE SACRIFICED, OR TO MAINTAIN HIGHER QUALITY ACCESSIBILITY MUST BE CURTAILED.

IT IS TRUE THAT THE QUALITY OF HIGHER EDUCATION NEEDS TO BE RAISED. IN THE PAST YEAR, THREE INDEPENDENT NATIONAL REPORTS REACHED SIMILAR CONCLUSIONS ON THE STATUS OF UNDERGRADUATE EDUCATION -- ALL POINTED TO INCOHERENT CURRICULA, A LACK OF RIGOR IN COURSE AND DEGREE STANDARDS, INADEQUATE METHODS OF ASSESSING STUDENT PROGRESS, AND LITTLE CONSENSUS WITHIN HIGHER EDUCATION ON WHAT KNOWLEDGE AND SKILLS SHOULD BE EMPHASIZED.

THE REASONS FOR THE DECLINE IN THE QUALITY OF UNDERGRADUATE

EDUCATION ARE UNDERSTANDABLE. CHIEF AMONG THEM, AS ALREADY MENTIONED, WAS THE PRESSURE IN THE 1960S FOR IMPROVED ACCESS TO HIGHER EDUCATION FOR LARGER NUMBERS OF DISADVANTAGED STUDENTS. THE ACCESS MOVEMENT WAS A HIGH PUBLIC PRIORITY, FAR-REACHING AND DEEP-ROOTED SOCIALLY, AND WAS IMPLEMENTED WITH POWERFUL POLITICAL SUPPORT. A DIVERSE BUT STRONG ALLIANCE OF THE PUBLIC, ITS POLITICAL LEADERS, AND THE HIGHER EDUCATION COMMUNITY FORGED WHAT QUICKLY BECAME A WAY TO EXPAND OPPORTUNITY TO ALL WHO COULD BENEFIT FROM HIGHER EDUCATION. ACCESS SHOULD BE A HIGHLY SIGNIFICANT SOCIAL AND ECONOMIC FORCE, BUT IT WILL NOT BE UNLESS IT IS ACCESS TO QUALITY EDUCATION. ACHIEVING THIS, HOWEVER, WILL BE DIFFICULT AND WILL DEPEND GREATLY ON THE EXTENT TO WHICH QUALITY IMPROVEMENT IS SEEN AS A NECESSARY MEANS TO MAKE ACCESS TO HIGHER EDUCATION TRULY MEANINGFUL. THE GREATEST CHALLENGE IS TO FIND WAYS THAT WILL ENABLE BOTH ACCESS AND QUALITY GOALS TO BE MET AT THE SAME TIME FOR THE SAME STUDENTS.

PURSUING BOTH GOALS WILL REQUIRE A COACTION AMONG THE PUBLIC, ITS ELECTED REPRESENTATIVES, AND THE HIGHER EDUCATION COMMUNITY. THE SAME KIND OF PUBLIC AND POLITICAL SUPPORT THAT INITIATED THE GREAT ADVANCES IN ACCESS MUST NOW FOCUS ON IMPROVING QUALITY WHILE MAINTAINING ACCESS. BECAUSE ACCESS IS NOW A HIGH, DEEPLY-EMBEDDED PUBLIC PRIORITY, EFFORTS TO IMPROVE QUALITY THAT APPEAR TO RESTRICT EDUCATIONAL OPPORTUNITY WILL BE CHALLENGED BY MANY SOCIAL, POLITICAL, AND EDUCATIONAL LEADERS. IT IS

IMPORTANT, THEREFORE, THAT QUALITY IMPROVEMENT ACTIONS AND POLICIES BE DEVELOPED JOINTLY, INVOLVING THE SAME GROUPS THAT WERE PARTY TO THE EARLIER UNDERSTANDINGS. AGREEMENTS SHOULD BE FORMALIZED IN STATE-LEVEL POLICY, WHICH HAS BOTH THE LEVERAGE AND JURISDICTION TO ENSURE THAT STUDENTS SEEKING COLLEGIATE STUDY CAN OBTAIN THE SERVICES THEY NEED WITHOUT COMPROMISING EFFORTS TO IMPROVE QUALITY.

THE POLICIES EMERGING FROM THESE GROUPS SHOULD BE DRAWN FROM TWO FUNDAMENTAL IMPERATIVES. THE FIRST IS TO RESTORE CLEAR STANDARDS ARRANGED IN A MEANINGFUL SEQUENCE TO THE ENTIRE EDUCATIONAL SYSTEM - FROM KINDERGARTEN THROUGH HIGH SCHOOL THROUGH POSTSECONDARY EDUCATION. THIS IS ESSENTIAL TO THE IMPROVEMENT OF QUALITY. STUDENTS SHOULD BE EXPECTED TO QUALIFY FOR STUDY AT THE NEXT EDUCATIONAL LEVEL, WITH QUALIFICATION DEPENDING UPON SATISFACTION OF CLEARLY STATED PERFORMANCE CRITERIA AT MAJOR ENTRY AND EXIT POINTS, SUCH AS HIGH SCHOOL GRADUATION, COLLEGE ENTRY, PROMOTION TO UPPER-LEVEL UNDERGRADUATE STUDY, AND COLLEGE GRADUATION. WE IN TEXAS HAVE ALREADY BEGUN THIS PROCESS BY REQUIRING COMPETENCY TESTING FOR ADVANCEMENT AND GRADUATION OF STUDENTS IN OUR PUBLIC SCHOOLS AND WE ARE CURRENTLY STUDYING THE FEASIBILITY OF TESTING COLLEGE STUDENTS AT THE SOPHOMORE-YEAR LEVEL.

THE SECOND IMPERATIVE IS TO PLACE GREATER EMPHASIS ON THE EFFECTIVE PREPARATION OF STUDENTS TO MEET SIGNIFICANT ENTRY AND EXIT STANDARDS SO THAT THEY CAN GAIN ACCESS TO EVER-HIGHER LEVELS OF EDUCATION. IN SHIFTING THE MEANS FOR PROVIDING ACCESS FROM A

LOWERING OF STANDARDS TO INCREASED PREPARATION TO MEET HIGHER REQUIREMENTS, THE IMPORTANCE OF PREPARATION AND QUALIFICATION IN PRODUCING QUALITY EDUCATION WHILE SUPPORTING EDUCATIONAL OPPORTUNITY IS RESTORED.

THE BASIC RESPONSIBILITY FOR INITIATING IMPROVEMENT IN HIGHER EDUCATION RESIDES WITH HIGHER EDUCATION INSTITUTIONS AND THEIR GOVERNING BOARDS. THE NEED FOR IMPROVEMENTS IS SO CRITICAL, HOWEVER, THAT CONCERTED ACTIONS BY BOTH CAMPUS AND STATE LEADERS WILL BE REQUIRED.

SINCE A COLLEGE EDUCATION IS NOW AN ACCEPTED PASSPORT TO SUCCESS AND ADVANCEMENT, IT IS NO LONGER SEEN AS A PRIVILEGE BUT AS A NECESSITY AND SOMETHING TO WHICH ALL CITIZENS HAVE A RIGHT. IN A TIME WHEN INFLATION AND INCREASING TAXES MAKE IT MORE DIFFICULT FOR FAMILIES TO ACCUMULATE AND PASS ON SUBSTANTIAL ESTATES, THE BEST, AND PERHAPS ONLY, INHERITANCE SOME PARENTS CAN PASS ON TO THEIR CHILDREN IS A COLLEGE EDUCATION.

IN THE PAST, WHEN FACED WITH THE NEED FOR A MORE EDUCATED POPULACE WE HAVE FOUND WAYS TO AFFORD THE DEVELOPMENT AND EXPANSION OF OUR EDUCATIONAL ENTERPRISE FOR THE BENEFIT OF THE NATION AND ITS PEOPLE. IN ORDER TO GUARANTEE THAT WE CONTINUE THIS AMERICAN TRADITION, IT IS IMPERATIVE THAT OUR STATE AND FEDERAL GOVERNMENTS WORK HAND IN HAND TO PROTECT THIS MOST CHERISHED RIGHT AND ESSENTIAL NEED. JAMES BRYANT CONANT SUMMED IT UP BEST WHEN, AS PRESIDENT OF HARVARD UNIVERSITY, HE SAID, "THE PRIMARY CONCERN OF AMERICAN EDUCATION TODAY IS NOT THE DEVELOPMENT OF THE

APPRECIATION OF THE "GOOD LIFE" IN YOUNG GENTLEMEN BORN TO THE PURPLE....OUR PURPOSE IS TO CULTIVATE IN THE LARGEST POSSIBLE NUMBER OF OUR FUTURE CITIZENS AN APPRECIATION OF BOTH THE RESPONSIBILITIES AND THE BENEFITS WHICH COME TO THEM BECAUSE THEY ARE AMERICANS AND ARE FREE."

THEREFORE, TO ASSURE THAT ALL STUDENTS HAVE ACCESS TO QUALITY POSTSECONDARY EDUCATION, THE NATIONAL CONFERENCE OF STATE LEGISLATURES URGES THE CONGRESS TO MAINTAIN A STRONG PROGRAM OF GRANTS, LOANS, AND WORK-STUDY FUNDS FOR LOW AND MODERATE INCOME STUDENTS, INCLUDING CONSIDERATION FOR PART-TIME AND OTHER NON-TRADITIONAL STUDENTS, WHO OTHERWISE MIGHT NOT BE ABLE TO AFFORD SUCH AN ESSENTIAL OPPORTUNITY.

THE FIRST BLACK COLLEGES IN AMERICA WERE FOUNDED IN THE NORTH. CHEYNEY STATE COLLEGE WAS ESTABLISHED IN 1830 IN PHILADELPHIA, PENNSYLVANIA, AS AN ELEMENTARY AND HIGH SCHOOL. LINCOLN UNIVERSITY WAS ESTABLISHED IN 1854 BY A WHITE PRESBYTERIAN MINISTER UNDER THE NAME OF ASHMUN INSTITUTE, AND IN 1866, BECAME THE FIRST AMERICAN COLLEGE TO BE NAMED AFTER PRESIDENT ABRAHAM LINCOLN. WILBERFORCE UNIVERSITY, ESTABLISHED IN 1856, IS THE FIRST PREDOMINANTLY BLACK COLLEGE ORGANIZED BY BLACKS. ORGANIZED EFFORTS FOR EDUCATING WERE NOT, HOWEVER, LIMITED TO THE NORTH; SIMILAR EFFORTS WERE MADE IN THE SOUTH AT THE START OF THE CIVIL WAR, AND THE NEED FOR THESE INSTITUTIONS BECAME QUITE APPARENT AFTER THE WAR HAD ENDED.

AT THAT TIME, THERE WERE ABOUT FOUR MILLION BLACK PEOPLE IN

THE UNITED STATES, AND ABOUT 28 OF THEM HAD A COLLEGE EDUCATION. THE MISSIONARIES, WHO PRIMARILY ORGANIZED THESE EFFORTS, RECOGNIZED THAT IN ORDER TO PARTICIPATE IN AMERICAN SOCIETY AND BE PREPARED FOR THEIR ROLES AS NEW CITIZENS THE FORMER SLAVE POPULATION NEEDED TO BE EDUCATED. ACCORDINGLY, BETWEEN 1865 AND 1900, A SIGNIFICANT NUMBER OF PREDOMINANTLY BLACK COLLEGES WERE ESTABLISHED - FISK UNIVERSITY IN 1866, MOREHOUSE COLLEGE IN 1867, PRAIRIE VIEW IN 1876, AMONG OTHERS. AS THESE COLLEGES DEVELOPED, DISAGREEMENT CENTERED ON WHETHER THEY SHOULD BE BASED UPON THE INDUSTRIAL OR LIBERAL ARTS MODELS OF EDUCATION. FINANCIAL SUPPORT FOR THESE COLLEGES THEREFORE CAME FROM THOSE ENTITIES WHICH SUPPORTED ONE OR BOTH OF THESE MODELS. IN SUPPORT OF THE INDUSTRIAL MODEL, CONGRESS ENACTED THE MORRILL ACTS OF 1862 AND 1890, WHICH PROVIDED TRAINING FOR BOTH BLACKS AND WHITES. THE DRIVING FORCE BEHIND BOTH OF THESE ACTS, HOWEVER, WAS NOT SO MUCH A CONCERN FOR EDUCATING THE FORMER SLAVES AS IT WAS THE NEED TO INCREASE THE COUNTRY'S PRODUCTIVITY IN AGRICULTURE AND FARM GOODS AND TO EDUCATE A BASICALLY AGRARIAN POPULATION AS THE COUNTRY EXPANDED WESTWARD. IN ORDER TO MEET THIS NEED, SOME STATE LEGISLATURES, SUCH AS TEXAS IN 1876, PROVIDED FOR A CONSTITUTIONAL BRANCH UNIVERSITY FOR COLORED YOUTHS. THUS FOR WHATEVER REASONS, BLACK COLLEGES WERE BOTH PUBLICLY AND PRIVATELY SUPPORTED.

IN RECENT YEARS THERE HAS BEEN AN ASSAULT ON THE VERY EXISTENCE OF THE BLACK COLLEGE. YET BLACK COLLEGES, PARTICULARLY THOSE PUBLICLY FUNDED, WERE DELIBERATELY CREATED TO BE DIFFERENT

FROM OTHER COLLEGES. HOWEVER, THESE BLACK INSTITUTIONS OFTEN WERE NOT TREATED LIKE OTHER STATE-SUPPORTED SCHOOLS. UNDER THE GUISE OF DESEGREGATION, SOME ARE ADVOCATING A CHANGE OF ETHNIC ORIENTATION OF THE BLACK COLLEGE BECAUSE OF A DISTORTED VIEW OF THE GOAL OF DESEGREGATION.

THE END RESULT OF DESEGREGATION IS NOT FOR BLACKS TO BE WITH WHITES, OR TO CREATE AN INFERIORITY COMPLEX IN BLACKS OR A SUPERIORITY COMPLEX IN WHITES. NOR DOES DESEGREGATION AIM AT ABOLISHING BLACK INSTITUTIONS BUILT AND ESTABLISHED WITH THE MINDS AND SWEAT OF BLACK PEOPLE. AS SUCH, THIS UNDERSTANDING OF DESEGREGATION IS NOT COUNTER TO THOSE ARGUMENTS MADE SUCCESSFULLY IN THE 1940S, 50S, AND 60S ON BEHALF OF DESEGREGATION; BECAUSE THEY WERE MADE ON BEHALF OF THE EQUAL OPPORTUNITY TO ASSOCIATE IN CLASSROOMS, ON CAMPUSES, AND IN OTHER SETTINGS.

THE GOAL OF DESEGREGATION SHOULD BE TO PROVIDE EQUAL ACCESS TO ALL, SO THAT INSTITUTIONS, FACILITIES, AND ACTIVITIES PREDOMINATED BY ONE RACIAL GROUP CARRY NO INHERENT STIGMA OF ADVANTAGE OR DISADVANTAGE. IN OTHER WORDS, DESEGREGATION SHOULD ALLOW ANYONE AND EVERYONE TO PARTICIPATE EQUALLY IN AND FULLY IN THE MAINSTREAM OF AMERICAN LIFE.

DESPITE THE GOAL OF DESEGREGATION, THERE ARE OTHERS WHO STILL URGE THE DEATH OF BLACK COLLEGES BECAUSE OF AN ALLEGED FAILURE TO PRODUCE GRADUATES CAPABLE OF SUCCESSFULLY COMPETING WITH GRADUATES OF OTHER SCHOOLS. IN THE FIRST PLACE, HISTORY DOES NOT BEAR THIS OUT. FOR EXAMPLE, THE NATIONAL CENSUS IN 1900

SHOWED AN IMPRESSIVE ACCOMPLISHMENT WITHIN A 35-YEAR PERIOD AFTER THE BLACK COLLEGE CAME ON THE SCENE. BY THAT YEAR, THERE WERE 21,268 BLACK TEACHERS, 15,530 BLACK MINISTERS, AND 1,734 BLACK PHYSICIANS AND SURGEONS. MORE RECENTLY IN 1980, OF THE 300,000 PHYSICIANS IN THE UNITED STATES, FEWER THAN 2% WERE BLACK. THE LATTER FIGURE IS A DISTURBING REVELATION SINCE DESEGREGATION HAS BEEN JUDICIALLY REQUIRED SINCE 1954, ALTHOUGH MEHARRY MEDICAL COLLEGE AND HOWARD UNIVERSITY HAVE PRODUCED ABOUT 85% OF THE BLACK PHYSICIANS. FURTHERMORE, BLACK COLLEGES HAVE GRADUATED ABOUT 75% OF ALL BLACK ARMY OFFICERS, AND 80% OF ALL BLACK FEDERAL JUDGES. IN FACT, IN 1979, THE NATIONAL ADVISORY COMMITTEE ON BLACK HIGHER EDUCATION AND BLACK COLLEGES, AND UNIVERSITIES STATED THAT DURING THAT DECADE SOME 87 HISTORICALLY BLACK COLLEGES HAD GRADUATED MORE BLACK STUDENTS WITH BACCALAUREATE DEGREES THAN ALL OF THE OTHER AMERICAN HIGHER EDUCATION INSTITUTIONS COMBINED. SO IT SEEMS THAT BLACK COLLEGES AND UNIVERSITIES HAVE PRODUCED GRADUATES CAPABLE OF SUCCESSFULLY COMPETING WITH GRADUATES OF OTHER SCHOOLS; AND THERE IS NO DOUBT THAT THEY WILL CONTINUE TO DO SO.

TRADITIONALLY WHITE COLLEGES AND UNIVERSITIES WITH BETTER AND LARGER FACILITIES AND GREATER FINANCIAL RESOURCES HAVE GRADUATED AN EMBARRASSINGLY SMALL NUMBER OF BLACKS. ACCORDINGLY, THESE FIGURES REGARDING THE BLACK COLLEGE ARE EVEN MORE IMPRESSIVE WHEN ONE CONSIDERS WHAT THESE INSTITUTIONS HAVE ACCOMPLISHED WITH SO LITTLE FINANCIAL SUPPORT. WITH MORE FINANCIAL ASSISTANCE

THE BLACK COLLEGE CAN CERTAINLY DO A BETTER JOB.

ONE CASE DEMONSTRATES THIS POINT. IN MY OWN STATE OF TEXAS, PRAIRIE VIEW A&M UNIVERSITY WAS ESTABLISHED IN 1876 AS ONE OF THREE CONSTITUTIONALLY DEDICATED INSTITUTIONS OF HIGHER EDUCATION, ALONG WITH THE UNIVERSITY OF TEXAS AND TEXAS A&M UNIVERSITY. PRAIRIE VIEW A&M WAS ESTABLISHED AS THE "BRANCH UNIVERSITY FOR COLORED YOUTH." THREE YEARS LATER, PRAIRIE VIEW A&M WAS AUTHORIZED TO RECEIVE FUNDS FROM THE CONSTITUTIONALLY DEDICATED ENDOWMENT ESTABLISHED FOR THE EXCLUSIVE USE OF THE THREE ABOVE NAMED UNIVERSITIES, THE AVAILABLE UNIVERSITY FUND (AUF), AND WAS AGAIN AUTHORIZED BY THE STATE LEGISLATURE IN 1881 TO PARTICIPATE IN THE FUND. IN 1882, HOWEVER, THE STATE COMPTROLLER RULED THAT PRAIRIE VIEW A&M WAS NOT ELIGIBLE TO SHARE IN THE AUF BECAUSE IT WAS NOT A LEGITIMATE CONSTITUTIONAL UNIVERSITY. IN EFFECT, THIS STATE OFFICIAL RULED THAT THE LEGISLATURE HAD NOT ESTABLISHED A BRANCH FOR COLORED YOUTH. DESPITE THE FAILURE OF THE STATE TO GRANT PRAIRIE VIEW A&M ITS FAIR SHARE OF THE AUF, THE SCHOOL HAS DONE AN OUTSTANDING JOB, EVEN WITH UNDERFUNDING AND SEVERELY INADEQUATE FACILITIES AND EQUIPMENT. BY 1981, ALL OF ITS ACADEMIC PROGRAMS WERE FULLY ACCREDITED, AND IT HAD GRADUATED MORE THAN 50% OF THE BLACKS CURRENTLY ENROLLED AT MEDICAL AND DENTAL SCHOOLS IN TEXAS, AND APPROXIMATELY 70% OF THE BLACK REGISTERED NURSES IN TEXAS ARE GRADUATES OF THAT UNIVERSITY. THIS WAS ALL ACCOMPLISHED EVEN THOUGH THE STATE SPENT LESS THAN $3,000 PER STUDENT AT PRAIRIE VIEW COMPARED WITH CLOSE TO $4,000 AT TEXAS

A&M, WITH AN ENDOWMENT AT PRAIRIE VIEW OF $10,000 AND AT TEXAS A&M OF $500 MILLION. INTERESTINGLY, PRAIRIE VIEW HAS A STUDENT BODY OF ABOUT 5,500, WHEREAS TEXAS A&M HAS A STUDENT BODY OF ABOUT 36,000, WITH ONLY 300 BLACK STUDENTS.

OBVIOUS DISPARITIES BETWEEN STATE-SUPPORTED BLACK AND WHITE COLLEGES CERTAINLY ACCOUNT FOR DIFFERENCES IN THEIR PERFORMANCE. ACCORDINGLY, WITH MORE EQUITABLE FUNDING, THESE DIFFERENCES CAN BE ELIMINATED, AND THE STATE OF TEXAS HAS MADE PROGRESS OVER THE LAST TWO YEARS IN WORKING TOWARD NARROWING THESE DIFFERENCES.

IT HAS BEEN SAID THAT THE ONLY CRITERION FOR ANY INSTITUTION'S EXISTENCE IS WHETHER OR NOT IT IS MAKING A UNIQUE CONTRIBUTION TO SOCIETY. THE QUESTION IS, THEREFORE, WHAT DOES THE BLACK COLLEGE CONTRIBUTE TO AMERICAN SOCIETY.

AS WITH ANY INSTITUTION OF HIGHER LEARNING, THE BLACK COLLEGE MUST PURSUE ACADEMIC EXCELLENCE AND DEVELOP IN ITS STUDENTS THE ABILITY OF CRITICAL THINKING. THE BLACK COLLEGE, HOWEVER, ALSO HAS A UNIQUE MISSION TO TAKE YOUTH FROM DISADVANTAGED BACKGROUNDS AND INSTILL IN THEM SELF-PRIDE AND SELF-WORTH. IN SUCH A CONTEXT, THE BLACK COLLEGE MUST PROVIDE AN ATMOSPHERE OF ENCOURAGEMENT, WITHOUT INTIMIDATION AND ALIENATION SO THAT INTELLECT CAN BE DEVELOPED AND NOURISHED, AND LEARNING STIMULATED. IT MUST FINALLY GRADUATE PERSONS WHOSE UNDERGRADUATE EDUCATION HAS REMOVED EDUCATIONAL HANDICAPS AND ALLOWS THEM TO COMPETE ON ANY LEVEL WITH COLLEGE GRADUATES FROM AROUND THE NATION.

IN LIGHT OF THE FACTS PRESENTED, BLACK COLLEGES IN TEXAS

ARE CERTAINLY MAKING A MEANINGFUL CONTRIBUTION TO SOCIETY. STUDENT ENROLLMENT IN THOSE INSTITUTIONS IN 1983 WAS 17,000. ABOUT 50% OF THE BLACKS ENROLLED IN TEXAS COLLEGES ARE ENROLLED IN PREDOMINANTLY BLACK INSTITUTIONS. IN CONTRAST, OUT OF 103,765 STUDENTS ENROLLED AT PREDOMINANTLY WHITE TEXAS A&M UNIVERSITY, UNIVERSITY OF HOUSTON, AND UNIVERSITY OF TEXAS AT AUSTIN, ONLY ABOUT 2.6% ARE BLACK. SINCE BLACKS MAKE UP 12.7% OF THE STATE'S POPULATION, PUBLIC HIGHER EDUCATION IN TEXAS IS RUNNING A DEFICIT OF AT LEAST 10.1% WITH RESPECT TO BLACK STUDENTS GRADUATING FROM WHITE SCHOOLS. AS NATIONAL AND STATE ASSETS, BLACK COLLEGES NEED NATIONAL AND STATE SUPPORT. I USE TEXAS AS AN EXAMPLE BECAUSE I AM MOST FAMILIAR WITH MY OWN STATE. HOWEVER, AS THE SUBCOMMITTEE IS CERTAINLY AWARE, THE PICTURE I HAVE DESCRIBED HERE IS ESSENTIALLY THE SAME IN ALL 50 STATES.

BLACK COLLEGES MUST LIVE BECAUSE THEY REPRESENT THE IMAGE OF BLACK PEOPLE IN EDUCATION. IF THEY DO NOT SURVIVE, THIS IMAGE IS ERASED. THESE INSTITUTIONS HAVE ALSO CONSISTENTLY IMPRESSED UPON THEIR GRADUATES A DUTY OF CIVIC PARTICIPATION DESPITE A CENTURY OF SEGREGATION AND CONTINUING RACIAL DISCRIMINATION. AS SUCH, IT IS NO SURPRISE THAT THE MAJORITY OF BLACK LEADERS HAVE GRADUATED FROM BLACK COLLEGES. BLACK COLLEGES CONTRIBUTE TO THE VITALITY OF AMERICA'S INHERENT PLURALISM AND DIVERSITY IN HIGHER EDUCATION AND ENRICH AND ENLARGE EDUCATIONAL OPPORTUNITY. WITHIN THIS CONTEXT, THESE COLLEGES HAVE HISTORICALLY BEEN CENTERS OF INTERRACIAL AND INTERCULTURAL CONTACT AND UNDERSTANDING.

TRADITIONALLY BLACK AND WHITE COLLEGES COMPLEMENT EACH OTHER AND BOTH MAKE DIFFERENT AND UNIQUE CONTRIBUTIONS. THE FOCUS OF THE DIFFERENCE IS A MATTER OF HISTORY, EMPHASIS, PHILOSOPHY, ORIENTATION, AND MISSION. EVERY COLLEGE CANNOT BE A UNIVERSITY OF TEXAS, A UNIVERSITY OF CALIFORNIA OR A UNIVERSITY OF MICHIGAN; THERE SHOULD BE A RANGE OF COLLEGES. BLACK COLLEGES MUST NOT BE APOLOGETIC FOR THEIR EXISTENCE; THEY MUST OPERATE AS ALL COLLEGES SHOULD TO JUSTIFY THEIR EXISTENCE. BASED UPON SUCH PROOF, THE BLACK COLLEGE MUST SURVIVE. AS NOTED BY THE SUBCOMMITTEE, THE LATE DR. BENJAMIN E. MAYS, PRESIDENT-EMERITUS OF MOREHOUSE COLLEGE, HAS SAID, "IF AMERICA ALLOWS BLACK COLLEGES TO DIE, IT WILL BE THE WORST KIND OF DESEGREGATION AND DENIGRATION KNOWN IN HISTORY. TO DECREE THAT COLLEGES BORN TO SERVE NEGROES ARE NOT WORTHY OF SURVIVING NOW THAT COLLEGES ACCEPT NEGROES WOULD BE A DAMNABLE ACT."

THEREFORE, THE NATIONAL CONFERENCE OF STATE LEGISLATURES SUPPORTS EQUITABLE APPROPRIATIONS FOR THE HISTORICALLY BLACK COLLEGES AND UNIVERSITIES AND CALLS UPON STATE AND FEDERAL GOVERNMENTS TO MAKE THIS A MATTER OF HIGH PRIORITY IN THEIR ACTIONS FOR HIGHER EDUCATION.

SPEAKING NOW AS MUCH FOR MYSELF AS FOR NCSL, I HAVE OBSERVED THAT SOME ACADEMICS IN OUR INSTITUTIONS OF HIGHER EDUCATION AND IN OUR INSTITUTIONS OF GOVERNMENT TODAY IGNORE, AVOID, OR FIND DOWNRIGHT OFFENSIVE, SUBJECTS THAT DEAL WITH THE LIBERAL ARTS AND HUMAN RELATIONS. IT IS UNFORTUNATE THAT THE LIBERAL

ARTS WHICH, UP UNTIL FAIRLY RECENTLY, DOMINATED UNIVERSITY CURRICULA AND ARE TODAY BEING SHORTCHANGED AS STUDENTS INCREASINGLY CALL FOR THOSE COURSES WHICH SEEM TO HOLD PROMISE IN THE JOB MARKET (ENGINEERING, HIGH TECHNOLOGY, BUSINESS ADMINISTRATION) AND OUR GOVERNMENT INSTITUTIONS - STATE AND FEDERAL - ARE ENCOURAGING DEVELOPMENT AND EXPANSION IN THESE FIELDS ONLY.

THIS IS AN UNFORTUNATE SITUATION BECAUSE WE MUST KEEP IN MIND THAT AS THE WORLD BECOMES INCREASINGLY COMPLEX, SPECIALIZED, AND TECHNOLOGICAL, THE NEED FOR TEACHING THE LIBERAL ARTS AND HUMANITIES INCREASES AS WELL. IF STUDENTS ARE TO MAINTAIN THE AWARENESS THAT THEY ARE HUMAN BEINGS WHO EXIST SIDE BY SIDE IN COMMUNITY WITH OTHER HUMAN BEINGS WITH WHOM THEY MUST LEARN TO LIVE IN PEACE AND HARMONY, THEY MUST BE EXPOSED TO THE ARTS AND HUMANITIES. FURTHERMORE, A GENERAL EDUCATION IN THE LIBERAL ARTS PREVENTS STUDENTS FROM CONCENTRATING SOLELY ON THOSE COURSES LEADING TO A FUTURE PROFESSION. THEREBY, INSTEAD OF PRODUCING AN INSENSITIVE, LITERAL-MINDED, NARROW INDIVIDUAL, THE LIBERAL ARTS PRODUCE A MORE WELL-ROUNDED, INFORMED, CARING INDIVIDUAL BETTER PREPARED TO FACE LIFE AFTER COLLEGE.

IN ADDITION, AN OVERABUNDANCE OF SPECIALIZATION IN COLLEGE MAY LEAD TO A DEAD END. FOR EXAMPLE, MODERN HIGH-TECHNOLOGY INDUSTRIES ARE STAFFED MAINLY BY ENGINEERS. BUT WHEN HIGHER-LEVEL ADMINISTRATIVE POSITIONS HAVE TO BE FILLED, THOSE JOBS ARE OFTEN OFFERED TO CANDIDATES WITH BACKGROUNDS IN LAW OR FINANCE, BECAUSE THE ENGINEERS CAN'T SEE BEYOND THE ENGINEERING.

DIVERSITY IN EDUCATION HELPS ONE TO SEE THE FAULTS AND LIMITATIONS IN THE WAY HE OR SHE DOES THINGS AND TO REALIZE IMPROVEMENTS, TO SEE THE CONNECTIONS BETWEEN A PARTICULAR JOB AND THE ONES RELATED TO IT, TO UNDERSTAND THE FEELINGS AND INSECURITIES OF FELLOW WORKERS AND CLIENTS - SO THAT IN DEALING WITH OTHERS ONE CAN BRING OUT THE BEST IN THEM.

THE PRESENT DISTINCTIONS IN EDUCATION MADE BY OUR INSTITUTIONS OF EDUCATION AND GOVERNMENT BETWEEN TECHNICAL SUBJECTS, THE SCIENCES, AND THE ARTS AND HUMANITIES ARE OUT-MODED AND SHOULD BE REDUCED TO THE MINIMUM. ALL COLLEGE STUDENTS - EVEN THOSE FIRMLY INTENDING TO STUDY AND WORK WITH COMPUTERS OR TECHNOLOGY SHOULD STUDY THE SCIENCES AND HUMANITIES THAT HAVE A BEARING ON THEIR CHOSEN FIELDS. ALL COLLEGE STUDENTS BY THE TIME THEY LEAVE COLLEGE SHOULD HAVE LEARNED SOMETHING ABOUT THE PRINCIPALS OF MATHEMATICS, PHYSICS, AND CHEMISTRY; THE WAY OUR BODIES WORK; WHY WE BEHAVE AS WE DO IN OUR COMMUNITIES, IN OUR FAMILIES, AND AS INDIVIDUALS AND WHY WE NEED TO BE ETHICAL; THE PAST, THROUGH HISTORY AND LITERATURE; AND HOW TO EXPRESS IDEAS VERBALLY AS WELL AS IN WRITING. IN ADDITION, OUR INSTITUTIONS OF HIGHER EDUCATION SHOULD BE ABLE TO GIVE SOME TRAINING IN THE TECHNICAL ARTS. OTHER PERMANENT QUALITIES OF CHARACTER THAT COLLEGES AND UNIVERSITIES SHOULD TRY TO DEVELOP ARE CREATIVITY AND ORIGINALITY - SO THAT PEOPLE CAN IMAGINE BETTER AND MORE BEAUTIFUL WAYS OF DOING THINGS; INITIATIVE - SO THAT THEY CAN BE STARTED ON SOLVING PROBLEMS WITHOUT NEEDING TO BE PRODDED; RESPONSIBILITY - SO THAT THEY

CAN BE COUNTED ON TO DO THE RIGHT THING WHETHER OR NOT SOMEONE IS WATCHING.

IN ORDER TO ACCOMPLISH THESE OBJECTIVES, OUR INSTITUTIONS OF HIGHER EDUCATION MUST BE ENCOURAGED TO RECOGNIZE THE IMPORTANCE OF THE RELATIONSHIP BETWEEN THE LIBERAL ARTS, SCIENCES, AND PROFESSIONAL PROGRAMS, THEN RETURN ONCE AGAIN TO AN EMPHASIS ON THE LIBERAL ARTS AND HUMANITIES. THIS, OF COURSE, MEANS INCREASED FUNDING AT ALL LEVELS. FOR THESE REASONS I URGE CONGRESS TO EQUALIZE THE FUNDING FOR THE LIBERAL ARTS, HUMANITIES, SCIENCES AND TECHNOLOGY. THE EARLY ROMAN POET AND PHILOSOPHER, OVID, SAID IT BEST ABOUT 2000 YEARS AGO, "NOTE TOO THAT A FAITHFUL STUDY OF THE LIBERAL ARTS HUMANIZES CHARACTER AND PERMITS IT NOT TO BE CRUEL."

THANK YOU.

Senator **Stafford**. Thank you very much. I appreciate the message. Mr. Snyder, we will be glad to hear from you at this point.

Mr. **Snyder**. Thank you, Mr. Chairman. For the record, my name is Harry Snyder. I am executive director of the State Council on Higher Education for the Commonwealth of Kentucky.

That is the agency in our State that is responsible for statewide coordination of our institutions. Every State has an agency of some type that coordinates, or governs, to some degree, its institutions of postsecondary education, and my written comments, Mr. Chairman, will extend those and explain in some detail the role.

I am also here representing the State Higher Education Executive Officers' organization of which I am president-elect.

Well, our Kentucky Council on Higher Education, then, is the statutory agency charged to provide the statewide perspective on higher education policymaking.

We serve, in that regard, as both an advocate and a regulator of higher education. We are charged with trying to rationalize or balance the competing institutional budget requests and put that in the framework of the Governor's budget priorities.

Many State boards also administer the student financial aid programs in those States as well. Some knowledge, I think, Mr. Chairman, of State agency responsibilities is critical to an understanding of our perspective on the Federal involvement in higher education.

We believe the most effective use of Federal dollars can be achieved, and the legitimate ends and needs of institutions and students better met, through a strong State and Federal partnership in the determination of those needs.

Agencies such as my own, across the country, take this statewide view, and I believe know better than perhaps the Federal Department of Education, or other groups, which institutions would be the most effective in achieving the goals of various Federal programs.

As a minimum, we urge that all Federal involvement in higher education requires that the activity supported be consistent with State plans for higher education.

This position is consistent with that taken by the National Governors' Association in their material submitted to the Congress, this past spring.

While State higher education boards and institutions are sometimes in disagreement over priorities, this certainly is not the case on the issue facing this committee today—the importance of student financial assistance.

One of our goals as a State agency is to ensure access to higher education for our Kentuckians. Access is controlled by three major factors: individual preparation, academic program location, and educational costs. While we play a role in all three, let me simply concentrate very briefly on the student cost issue.

One major area of State decisionmaking is the setting of tuition for our institutions. The relationship between tuition-setting at the State level and the provision of student financial aid at the Federal level offers a good opportunity for us to support and encourage our mutual interests.

The goal is the same. To encourage and assist America's youth and adults in obtaining an education that will make them productive members of our society, as Senator Pell said.

The strength of our Nation, and of my State, depends on our mutual success.

Kentucky has two specific problems in this area, Mr. Chairman. We are a relatively poor State, as you know, and we rank near the bottom on many measures of educational attainment, both from secondary and collegiate levels.

We are trying to address these problems through a variety of education reforms and in the cost area, by maintaining a low tuition. I can assure you that we will continue to support your efforts by keeping our tuitions at the undergraduate level as low as possible.

In most public colleges in our State, over half of the students enrolled receive some form of financial assistance, so your efforts and ours are working together to achieve a common objective.

There is no question that the primary Federal interest in higher education must continue to be to assure access for those who have the ability but not the means to benefit from the collegiate experience. The goal of this Congress in reauthorizing the Higher Education Act must be to protect this fundamental premise from erosion. With the exceptions presented in my written testimony, I would urge that Federal support continue to concentrate on the needs of students, leaving institutional support primarily the responsibility of the States or the private sector.

The Pell Grant Program is of particular importance to students in States like Kentucky, where pockets of economic weakness continue to exist.

Structuring the Pell Grant Program to assure its full funding must be a high priority. It should reflect its entitlement character with adequate levels of student support and needs assessment. In this context, we particularly stress the importance of access to higher education for those who need retraining, to remain productive citizens.

The Guaranteed Student Loan Program is the other central element of the Federal program of student aid and must continue to be designed to ensure access to affordable loans, for those students whose resources are inadequate, or whose finances would be dissipated by bearing the full cost of their education.

We do not support any quick fixes, Mr. Chairman, to reconfigure the Guaranteed Loan Program. The perception of radical change which accompanied the last round of relatively minor revisions was widespread and it disrupted the access these programs were designed to protect.

Real savings are likely to accrue from achieving low interest rates and from the recognition of the risks inherent in incurring this large debt burden that Governor Kean spoke about, rather than through some kind of radical surgery on this otherwise healthy program. We believe greater cost savings can accrue at the State level from effective default prevention measures than by reducing the scope of the program.

One trend that I would like to point out, that I think is particularly alarming, and that is the shift of the emphasis away from grants or workstudy, and into borrowing to finance higher education. This is particularly disturbing to us at the State level, and Senator, I urge that we have a more balanced program in these areas.

Well, you will find that my colleagues, the State Higher Education Executive Officers, are interested in helping you in any way we can, in the reauthorization process. We look to the Congress to supplement our efforts at the State level.

We recognize it is our responsibility to make our needs known to you, and to that end, our organization has adopted a series of resolutions which I have made available for the record, Mr. Chairman, and I would request that they be made a part of it.

Senator **STAFFORD**. We will make them part of the record.

Mr. **SNYDER**. Thank you, sir.

[The prepared statement of Mr. Snyder, responses to questions submitted by Senator Hatch, and the resolution referred to follows:]

SHEEO STATE HIGHER EDUCATION EXECUTIVE OFFICERS
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Testimony of

Harry M. Snyder

Executive Director
Kentucky Council on Higher Education

and

President-Elect
State Higher Education Executive Officers Association

before the

Subcommittee on

Education, Arts and Humanities
Senate Committee on Labor and Human Resources

regarding

State Concerns Respecting Student Financial Assistance
and the
Reauthorization of the Higher Education Act of 1965

Washington, D.C.

September 26, 1985

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Testimony of Harry Snyder
State Higher Education Executive Officers

Mr. Chairman, my name is Harry Snyder. I am the Executive Director of the Kentucky Council on Higher Education, and I am appearing before you today as President-elect of SHEEO, the State Higher Education Executive Officers Association. The members of SHEEO are individuals like me, the chief executives of the boards, agencies and commissions responsible for statewide governance and coordination of higher education in 49 states, the District of Columbia, Puerto Rico and the Virgin Islands. In twenty-two states the SHEEO agency is the central governing board for public higher education, and another twenty states have coordinating boards with regulatory authority similar to that of Kentucky's Council on higher education. The remaining ten states have advisory boards with varying levels of responsibilities. Our members are primarily responsible for ensuring that the citizens of their states have available to them effective and efficient higher education services, both public and independent, that standards of quality are maintained and that the needs of the state and its citizens are adequately served.

The Kentucky Council on Higher Education is a statutory public agency charged with ensuring a statewide perspective on higher education policy and finance. We serve the people of our state as both an advocate and as a regulator of higher education. We take on a regulatory personality in exercising our statutory duty to approve new degree programs and to review existing ones. Preparing a consolidated higher education budget request for presentation to the governor and the legislature takes on the dual characteristics of advocacy and regulation. We strive to represent the needs of our citizens and the interests of our institutions in arguing for the funding our board finds appropriate, but we are also statutorily charged with rationalizing often competing institutional requests within the framework of the governor's budget.

State coordinating and governing boards represent a unique perspective on higher education. Like the Governor and the legislature, our boards must represent statewide interests in the development of higher education policy. Effective state policy cannot and should not be merely the accumulation of individual institutional aspirations. Particularly in an era of scarce resources,state policy should reflect the needs of the state and its citizens as a whole rather than merely the interests and aspirations of particular institutions or sectors of higher education. In order to carry out the coordination of such a "system" approach to higher education policy, the states have created, through both statute and their constitutions, boards, agencies and commissions with a wide array of powers. Typically, state higher education boards have the responsibility to determine institutional missions and degree granting authority, to approve new programs proposed by public and in some cases private institutions, and to review and make recommendations to their governors and legislatures concerning operating budgets, capital expenditures and student fee levels. Many of our state boards also administer state-based student aid programs, a number are involved in state work-learning initiatives, and an increasing number are major actors in workforce retraining and economic development efforts.

Perhaps the most important single function of the SHEEO agencies is, more generally, to coordinate public policy on higher education within the state through rational planning mechanisms. I think it is important to note that there is no such thing as a state without higher education coordination -- nor has there ever been! The ultimate coordinating body is the state legislature. In those states without strong governing or coordinating boards the policy issues that are ordinarily the province of the SHEEO are debated from the start on the floor of the legislature. The vast majority of states have chosen to move the venue for that debate, and for the examination of the complex set of issues that underly it, to a board and a professional staff that can devote the time and attention that effective higher education policy requires.

The reason that I have taken the committee's time to describe the functions of SHEEO agencies is that their responsibilities are critical to understanding the perspective of the states on federal involvement in higher education. Frankly, Mr. Chairman, we don't think the Federal government has been managing its end of this partnership as well as it could. The legitimate needs of institutions and students are better met, through a strong state role in the determination of those needs. As I will discuss a bit later on, this is certainly the case with federal dollars targeted at facilities, at vocational programs, at developing institutions, and for adult learners and workforce retraining, and it must be taken into account in the development of student financial aid policy.

My board and the SHEEO agencies in most states are legally responsible for establishing and coordinating such programs, which are statewide and that elicit continuing financial commitments from the states. The State boards know, I submit rather better than the federal government, which institutions would be most effective in achieving the goals of various federal programs. It is counterproductive, to say the least, for the Federal government to be pouring its scarce dollars into programs which the states do not consider a priority or which are not congruent with the mission of the institution receiving the funds, especially at a time when the needs of our institutions and students are so much greater than our resources. As an absolute minimum commitment to the concept of federalism, we urge that ALL federal involvement in higher education require that the activity to be supported is consistent with state plans for higher education. In the few cases where states have no higher education planning, coordinating or governing agency, or no plans covering the activity in question, it is the responsibility of the governor's office either to make the determination of congruence with state plans, or to decline to make such a determination. I should note that this position is consistent with that taken by the National Governors' Association in documents submitted to the Congress this past spring.

While state higher education boards and institutions are sometimes in disagreement over priorities, this is not the case on the issue facing this committee today: the central importance of student financial assistance. One of our major goals as a state agency is to ensure access to higher education for our citizens. Access is controlled by three major factors: individual preparation, academic program location, and educational costs. While SHEEO's play a role in all three, permit me to concentrate on the student cost issue. One major area of state decision-making is in the setting of public institution tuition. In Kentucky we have provided considerable indirect "student financial aid" by keeping tuition as low as possible through substantial state support. I note that in many states with large numbers of independent institutions there is a good deal of direct state aid to that sector as well. The states are committed to assuring student access, but there are clearly not enough state resources to enable us to support our pluralistic system of public and independent colleges without a strong continuing federal involvement in the financing of higher education.

There can be no question that the primary federal interest in higher education must continue to be to assure access for those who have the ability but not the means to benefit from a collegiate experience. The goal of this Congress in reauthorizing the Higher Education Act must be to protect this fundamental premise from erosion. With the exceptions I will discuss in a moment, federal support should continue to concentrate on the needs of students, leaving institutional support primarily the responsibility of the states and the private sector.

Structuring the Pell Grant Program to assure its full funding and protect it from political vagaries must assume the highest priority. We support proposals to revise the funding mechanism of the Pell Grant program to reflect its entitlement character, with adequate and realistic levels of student support and needs assessment to achieve its intended purposes. In this context, we particularly stress the importance of access to higher education for those who need retraining to remain productive citizens, and we commend to this subcommittee the proposals set before it to eliminate discrimination against older students in access to appropriate financial aid.

The Guaranteed Student Loan Program, as the other central element of the federal program of student aid, must continue to be configured to ensure access to affordable loan capital for those students whose own resources are either inadequate or whose finances would be unduly stressed by shouldering the entirety of the costs of their postsecondary education. Together with the Pell Grant program, Guaranteed

Student Loans provide a foundation that has served this nation well in preserving access, choice and pluralism in American higher education.

This is not to say that significant savings in the GSL program are beyond reach. We do not, however, support any "quick fixes" to reconfigure GSL, and indeed we are convinced that sudden changes in the program are very likely to cause more harm than good. We cannot afford to lose sight of the confusion and distress which accompanied the last round of widely publicized changes in the student aid programs. The perception of radical change was widespread, even though the actual changes were relatively minor. As a result, many needy students failed to take advantage of the assistance to which they were entitled, disrupting the access these programs were designed to protect. Real savings are only likely to accrue as a result of achieving stable low interest rates and the recognition, particularly among older students, of the risks inherent in incurring large debt burden, rather than through radical surgery upon a generally healthy program.

In the short run, the return of advances by state loan agencies would certainly help reduce costs, and we generally endorse such an approach. However, many states still rely on all or a part of their advances to maintain the stability of their programs. We therefore support a phased approach that would ensure that the return of the advances does not destabilize the newer agencies. We also support reasonable reductions in the special allowance and the requirement for multiple disbursements, as have been proposed in the current budget reconciliation. We are strenuously opposed, however, to the elimination of the Administrative Cost Allowance. In some states, the ACA represents as much as half of the operating expenditures of the state loan program. Now is the time for the states to be particularly active in default prevention, lender training and school reviews. Eliminating the ACA will, in our view, increase the net cost of the program, rather than reduce it. We believe greater cost savings can accrue from effective default prevention measures than by reducing the scope of the program itself. The states are the strongest allies of the federal government in ensuring the integrity of the GSL program. Many states are already acting aggressively to manage the default issue through institutional, lender and guarantor oversight. The federal government should be doing everything possible to enhance the ability of the states to carry out this task -- including, I should add, responding promptly and forcefully when a state identifies a problem institution, lender or guarantor. I will be pleased to provide this Subcommittee with specific examples where such a response has not been forthcoming.

Notwithstanding our strong support for the GSL program, as state officials who are concerned with what happens to students when they complete their higher education and seek to become productive citizens of our states, we are becoming increasingly alarmed over the steady shift of emphasis away from grants, work and self-help towards the incurring of debt to finance one's higher education. In the mid-70's, loans comprised only about a fifth of the average aid package, and as recently as 1980 that proportion was barely 40 percent. Now, according to the College Board's most recent analysis, Trends in Student Aid, loans account for half the average aid package. Even more ominous, a new study conducted by the California Postsecondary Education Commission finds considerably higher debt burdens among presently enrolled students than among recent graduates. We are concerned that the present system is creating a nation of college graduates whose burden of debt is having -- and will increasingly have -- a deleterious effect not only upon the individual graduates but upon their communities, their States and upon the nation at large.

We see the effect of this most clearly in the degree to which young people are willing to enter socially vital but economically less rewarding careers, such as education. Instead, the looming debt burden is making the economic value of a career more important than its social utility. It is difficult for a student to justify lengthy graduate study to qualify as a professor of history when that training will result in a $30,000 debt burden. We cannot afford to have our own student aid policies skew the entry of talented young people away from critical fields.

Our members have examined these issues from their particular vantage point, and we have concluded that the evolution of the present system has created imbalances among direct governmental support, student and parental contributions, and debt burden. It is our view that the erosion of direct aid in favor of an ever-increasing reliance on loans must be halted in favor of a renewed emphasis on need-based grants and subsidized work opportunities. We do not believe that increasing loan limits would represent a real improvement in the student aid programs. While we certainly recognize the direct correlation between rising student costs and the need to increase the availability of student assistance, we suggest that these increases be met through the full funding of the

Pell Grant program, Work-Study and SEOG, and particularly through enhanced opportunities for subsidized student work. Attempting to close the growing gap between costs and available assistance through increasing the debt burden does not solve the problem, but simply delays its manifestations. Increasing loan limits will do no more than put off the inevitable day of reckoning, create economic hardship, slow down local economies, further skew the critical career selection process and decrease social commitment.

As one alternative, we urge serious consideration be given to increasing the flexibility afforded us in administering the State Student Incentive Grant program. We propose that the States be allowed to allocate a portion of these resources to supplement state work-learning programs. There are already a number of excellent examples of state-based student work programs that are not only affording the participants a chance to generate needed revenue but are also serving their intellectual needs and promoting the public welfare. For example, Kentucky institutions are developing ways to use work-study programs to help support a statewide adult literacy initiative. SHEEO is working closely with the National Governors' Association and the Education Commission of the States in developing new approaches to work-learning, and we commend to the attention of this subcommittee the beneficial effects of encouraging such activities. SSIG has proven itself as an effective device for encouraging the State-federal partnership we all espouse. This added flexibility would breathe new vigor into an already highly successful program. Of course, we all know that SSIG has been woefully underfunded in recent years. Congress should not only secure the present level of funding, but increase it if we are to take full advantage of this opportunity to use the leveraging potential of federal funds.

We believe that the campus based programs represent an important adjunct to Pell and GSL, and they must be maintained at a sufficient level to allow institutions the flexibility to ensure an appropriate balance between grants, work and loans in the packaging of student aid. We continue to support transfer authority between SEOG and CWS, and simplification of the needs assessment process. Again, assuring equity for adult learners is an essential step in maximizing the effectiveness and value of these programs.

I would like to close with a brief discussion of the nature of the State-federal partnership, and the importance of ensuring the maintenance of an appropriate balance of roles and responsibilities. I stated early in my testimony that the federal role should be primarily to provide for student access, leaving institutional support to the States. While that is a valid operating premise, there are important exceptions of which we cannot lose sight.

We believe there is an urgent need for federal support to assist the states in the development and implementation of higher education programs that help re-educate and retrain the workforce. Nothing is higher on the agendas of our governors and legislatures than economic development, and nothing is more central to achieving that goal than ensuring a skilled and competitive workforce. We applaud efforts to reinvigorate Title I, and we commend to this subcommittee the proposals of Chairman Hatch and Representatives Gunderson and Williams.

There are specific areas where a federal commitment is necessary to deal with areas of national priority. Ensuring an adequate supply of elementary and secondary school teachers qualified to teach mathematics, science and foreign languages is a national need, and we urge support for such efforts. Nowhere is the need for federal involvement more clear than in the area of graduate education and the support of research. Our national competitiveness depends in no small measure on the maintenance of the health of our scientific research community, of the education of students who understand the international community, as well as the ability of our colleges and universities to continue to recruit talented and well-educated faculty. But the cost of graduate education has begun to outstrip the financial ability of many qualified students, and, as I discussed previously, the overwhelming reliance on loans is forcing graduates to make career choices contrary to the national interest. We strongly support proposals to expand support for graduate education in all fields, specifically including the area of international education. Likewise, we believe the federal government must maintain and indeed expand its commitment to the support of pure and applied research, not only in the sciences but in a wide range of fields that are critical to our national well-being.

Finally, let me touch on the issue of facilities financing. We all know that there is an immense backlog of demand for capital resources to renovate and rehabilitate existing facilities, and to replace and improve instructional and research equipment -- let alone construct new buildings. We urge serious consideration of proposals to return the federal government to a serious partnership with the states in facilities financing. While we believe it essential that no federal capital funds flow into a state without assuring compliance with state plans and priorities, we also urge the Congress to restore a meaningful program of facilities and equipment support. I also want to respond favorably to the general notion of a guarantee fund that would enable more institutions to take advantage of the private capital markets to financing facilities and equipment acquisitions. While this is far from a panacea, it is an idea well worth pursuing, and we congratulate Mr. Fox of Sallie Mae for his foresight.

State higher education agencies are working with their governors and legislatures to account for higher education expenditures, ensure the quality of programs, and continue to provide geographic access to our citizens. We depend on the judgments of Congress to effectively supplement our systems and recognize that it is our responsibility to make our needs and concerns known. To that end, SHEEO has prepared "State Perspectives on Priorities for the Reauthorization of the Higher Education Act of 1965," adopted a series of resolutions on each of the Act's Titles and proposed amendments to the specific language of the Act germane to the interests of the States and their citizens. I request that these be entered into the record for your consideration.

On behalf of my SHEEO colleagues, I thank you for this opportunity to present our views and look forward to the opportunity to present more detailed statements on the reauthorization of the Higher Education Act for the consideration of this subcommittee.

COMMONWEALTH OF KENTUCKY
COUNCIL ON HIGHER EDUCATION
FRANKFORT
40601

HARRY M. SNYDER
EXECUTIVE DIRECTOR

October 30, 1985

Dear Senator Stafford:

I appreciated the opportunity to testify on the reauthorization of the Higher Education Act before your Subcommittee on Education, Arts and Humanities. This process is critically important to the entire higher education community.

Per your letter of October 1, editorial comments on the transcript of my September 26 testimony were immediately forwarded. Attached are responses to the questions posed by Senator Hatch to all witnesses at reauthorization hearings. Your committee staff informed us that responses would be accepted until November 1.

The questions posed by Senator Hatch are timely, yet specific responses may vary from state to state. Although in September I testified on behalf of the State Higher Education Executive Officers organization, the attached responses are submitted in my capacity as Executive Director of the Kentucky Council on Higher Education. I would be pleased to provide any additional information your committee might request.

You have a difficult task before you to address the many caveats of reauthorization. This country is experiencing a new emphasis on benefits of higher education to not only the states but also to individual citizens and, of course, to the nation.

Cordially,

Harry M Snyder

Harry M. Snyder, Executive Director

The Honorable Robert T. Stafford, Chairman
Subcommittee on Education, Arts and Humanities
SD-428 Dirksen Senate Office Building
Washington, D.C. 20510

HMS/cld
Attachment

cc: Ken Ashworth
Shaila Aery
Jim Mingle
Mike Goldstein

AN EQUAL OPPORTUNITY EMPLOYER M/F/H

REACTIONS TO HEA REAUTHORIZATION ISSUES
SUBMITTED BY HARRY M. SNYDER, EXECUTIVE DIRECTOR
KENTUCKY COUNCIL ON HIGHER EDUCATION

1. The proper division of responsibility between student, parents or other family, educational institution, the private sector, and government in financing postsecondary education.

There are various thoughts along the lines of the proper division of responsibility. However, there is consistency in that the assignment of this responsibility generally starts with a base of students contributing anywhere from 20 to 30 percent of the cost of their postsecondary education. The remainder of the cost would be covered by a combination of state and federal government programs.

2. The proper balance between loans, grants, and work in financial aid packages in order to ensure a student's maximization of his education.

An emphasis on grant programs must occur so that the spiraling indebtedness of students graduating from higher education is not a deterrent to enter postsecondary programs. In order to reverse a trend of greater dependence on loans, at least 60 percent of the cost of a student's education should qualify for grants. Moreover, no more than 50 percent should be financed under a loan program.

3. Whether or not more resources for financial aid should be channeled to institutions for disbursement through them to students and why.

While campus-based programs are an important part of the federal government's student financial aid, the availability of financial aid directly to students encourages an appropriate choice of where the student may attend. If a student's availability to financial aid is constrained by the capacity of an institution to compete or qualify for that money, access is limited unnecessarily. In a state-like Kentucky, where the educational attainment level is among the lowest in the nation, it is critical to ensure access and appropriate financial aid directly to students. Furthermore, Kentucky statutes recognize the contributions of the independent institutions in providing postsecondary programs and the students' right to a choice.

4. Whether or not, and how, greater concern with a student's educational achievement levels should be made a part of criteria for financial aid.

> Merit-based programs should receive substantially more attention if higher education is going to attract and retain high-achievers; such incentives encourage academic excellence. Given the current condition of undergraduate education in this country, we have an obligation to encourage students to reach their maximum academic potential. In Kentucky, though, need-based programs remain the priority of our General Assembly in spending state dollars for student financial aid. Kentucky's Governor's Scholars Program, an intensive college summer session for gifted high school juniors, is an excellent example of how recognition and greater challenge of academically gifted students can in turn encourage other students to strive for educational achievement. Merit-based programs should serve as a complement to need-based programs, which undergird financial assistance to ensure access.

REAUTHORIZATION OF THE HIGHER EDUCATION ACT (HEA)
THE SHEEO PERSPECTIVE
- OUTLINE -

SHEEO Policy	Recommended Federal Policy	Basic Themes of Simon's Proposal
State higher education agencies (SHEA) have responsibilities to ensure that federal higher education programs are consistent with the concepts of a federal-state partnership and the primacy of the states. Therefore, certain existing HEA programs require more direct SHEA involvement.	Consistent as well as equitable access to student financial assistance should be achieved.	Expanded access for needy undergraduate and graduate students.
SHEEC believes that the historic balance of the federal-state relationship should be restored.	The responsibility of the states should be recognized to plan and coordinate, and to establish their own unique priorities.	Simplification of student aid and institutional assistance programs, with special emphasis on institutions serving minority and low income students.
	Flexibility should be achieved in the promulgation of laws and regulations that recognize the differences among the states.	Enhanced quality through library support, assistance for faculty study and teaching abroad; merit scholarships for future teachers and graduate students in certain disciplines and improved research facilities and instrumentation loans and grants.
		New endowment development programs to assist in institutional growth.

REAUTHORIZATION OF THE HIGHER EDUCATION ACT (HEA)
THE SHEEO PERSPECTIVE
-OUTLINE-

Title	SHEEO Recommendations	SHEA Role	Simon's Proposal	Reagan's FY85 Budget Proposal
I Adult Education and Training	o Provide population-based formula grants to state higher education agencies which would award discretionary grants to eligible institutions. o Return to the original (pre-lifelong learning) purpose of Title I; emphasize improvement of existing programs rather than support for exemplary projects which are to be supported under FIPSE. o Promote coordination with other programs, JTPA; complement vocational education initiatives; National Advisory Commission should encourage coordination and disseminate information and evaluations. o Give priority to projects for previously underserved populations and which provide more cost-effective delivery of services, including telecommunications.	o Distribution of funds on a competitive basis to eligible entities. o (Mandate equal treatment of public and independent institutions.)	o Establishment of an expanded continuing/community education program, including a literacy initiative, a correctional education program, the Veterans Cost of Instruction and educational outreach. o Educational Outreach. o Literacy Training. o Educational Programs for Correctional Facilities. o Veterans Cost of Instruction.	o No recognition of adult learner.
II Libraries	o Pay greater attention to strengthening research library resources. o Support existing programs, i.e., networks for sharing resources. o Provide incentive funding for cost-saving uses of technology.	Review and comment.	o College Library Grants based on complex need criteria. o Training Research and Development Grants (emphasis on technologies and strengthening of minority education programs). o Research Libraries.	o Zero out support of public, research and college libraries.

Title	SHEEO Recommendations	SHEA Role	Simon's Proposal	Reagan's FY85 Budget Proposal
III Institutional Aid	o Simplify aid program; reduce the categories of assistance. o Require applicants to demonstrate consistency of proposals with existing state plans and authorizations. o Encompass TRIO programs under Title III, with formula grants to states based on economically disadvantaged population; support student access and support programs, e.g., Educational Opportunity Centers.	Review and approval (SHEA may waive this right or only elect to comment.)	o Development grants to institutions based on relative portion of Pell Grant and campus-based aid. o Black College and University Act (new). o Endowment Grants (extended).	o Consolidate current programs to just two: strengthening institutions and endowment programs. o Refocus on programs for financially needy institutions and TRIO programs. o Cut TRIO funding about 50%; no funding for Educational Opportunity Centers.
IV Student Assistance	o Combine Pell and SEOG application procedures, without a reduction in the aggregate level of awards. o Expand the SSIG program to allow it to support state-run work-study programs; include all need-based expenditures available in calculating maintenance of effort. o Consider recommendations of NCHELP about GSL; address issues of: increasing maximum amount of loans, basing eligibility solely on need, and elimination of the origination fee. o Consider consolidation of NDSL and GSL. o Provide incentives for the College Work-Study (CWS) program to augment state training partnerships and cooperative education programs. o Develop an academic merit-based scholarship program for outstanding high school seniors.	None, except for administration of SSIG and attendant work programs.	o Reorganization of the student aid programs into one work (College Work Study), one loan (Guaranteed Student Loan) and one grant (Pell Grants) program, coupled with a campus-based block grant to be used in the discretion of the institution. o Pell Grants would be made an entitlement; maximum set at $3,000 and rising annually to reflect CPI increases. o CWS would replace the existing state allotment formula and provide a 10% set aside for graduate students. o SEOG, NDSL, and SSIG would be replaced by a campus-based Block Grant. o Guaranteed Loans would be modified extensively; origination fee would be eliminated; applicants would undergo a needs test; annual limit for undergraduates would be $3,000 (up from $2,500) and from $2,500 to	o Eliminate SEOG, SSIG and NDSL. o Increase CWS and allow each institution to use $100,000 of CWS dollars to support costs of Cooperative Education Programs; Job Location and Development programs; and Adult Literacy programs; allow colleges to transfer up to 50% of CWS funds to Supplemental Grants but require 80-20 (fed-college) matching funds. o Maintain Pell funding at current level; increase maximum grant from $1,900 to $3,000; include self-help component of $500 or 40% of cost of education; self-help could be met from any source other than federal grants, including work-study, loans, and state, corporate and institutional aid. o GSL would require all students

Title	SHEEO Recommendations	SHEA Role	Simon's Proposal	Reagan's FY85 Budget Proposal
	o Consolidate fellowships for graduate and professional study under this title with specific percent set aside for graduate study awards.		$5,000 for parents under the ALAS program; interest rates for GSL and ALAS would rise or fall with T-bill rates; authority included to consolidate loans. o Cost containment section would be added, offering $250,000 awards to institutions which keep tuition and fee increases at or below the CPI level for at least 3 years; such awards would be made from returns of unspent federal student aid; no more than 5% of institutions would be eligible for the one-time award.	to prove need (not just those from families with incomes over $30,000. This is ED's only entitlement program. o There was no reference to proposal for grants based on academic ability. o Graduate and professional opportunity programs and public service fellowships would lose all funding. o Promoting tax incentives for parents to save $1,000 annually/child (i.e., interest on account would be tax free).
V Teacher Training	o Provide more federal support for preservice and inservice training and more opportunity for SHEA-SEA coordination in allocating funds. o Take into account state-identified areas of need; math-science legislation should not supplant broader teacher training needs. o Retain support to train elementary and secondary teachers to teach handicapped children in shortage areas, and to coordinate faculty development.	Provide for a joint SHEA-SEA award process by modifying the present SEA-only distribution system.	o Provide scholarships for students who intend to teach, fellowships for talented teachers, discretionary grants for college-school partnerships and grants to schools of education to improve curriculum, practice teaching and teaching methods. o Teacher Education - dean's grant for research - grants to schools of education: a) to assess programs and introduce innovations b) to establish exemplar programs - merit scholarships for high school seniors - talented teacher fellowship o Professional Development - grants to schools of education to develop cooperative programs with LEA's for classroom teachers	o Provide block grant to states for training teachers in math and science.

Title	SHEEO Recommendations	SHEA Role	Simon's Proposal	Reagan's FY85 Budget Proposal
			- summer institutes program o School-College Partnership o Research on Evaluation	
VI International Education	o Encourage cooperation among state agencies involved in economic development, and institutions to develop cooperative programs with business and industry.	No formal responsibility, only a facilitative role to encourage cooperation among appropriate state agencies, institutions, business and industry.	o Existing format retained plus 5 new programs to encourage faculty study and teaching abroad. o A National Endowment for International Education o Faculty Study Abroad o Undergraduate Exchanges o Group Projects Abroad o Cross-National Study Fund	o Eliminate International Education Programs.
VII Academic Facilities	o Give priority to rehabilitation over new construction. o Consolidate undergraduate and graduate facilities into a single grant program.	Review and comment (and approval if capital expenditures subject to state approval).	o Low interest loans for up to half the cost of construction or renovation of academic facilities. o Matching grants for purchase of laboratory, research, and other instructional equipment.	o No money is slated for new facilities construction grants, nor for 3% loans for campus housing facilities.
VIII Cooperative Education	o Encourage better relationships between academic programs, college work-study and cooperative education programs.	Review and comment on responsiveness to state manpower needs and relationship to state work programs.	o Dramatic expansion to provide more private sector, career-relevant work opportunities for all students. o Comprehensive Grants. o Discretionary Incentive Grant to sustain existing cooperative education institutions.	o Eliminate cooperative education programs.
IX Graduate Education	o Emphasize vital role of federal government in supporting graduate education.	None	o Extended without major modification. o Fellowships awarded solely on merit (increased from $4,500 to $8,500). o National Graduate Fellowships to be designated in fields of national need.	o Eliminate funding for graduate and professional opportunity program and public service fellowships.

Title	SHEEO Recommendations	SHEA Role	Simon's Proposal	Reagan's FY85 Budget Proposal
X FIPSE	o Increase authorization levels.	Review and comment on applicants capacity to carry out the project, and if so designated the degree to which project would meet a state need.	o FIPSE to be extended setting forward a flexible grant program for non-profit institutions. o Minority Institutions Science Improvement Program (MISIP) from the NSF.	o Keep at current funding level. o Require 50% cost-sharing for all FIPSE grants.
XI Urban Grants		Review and comment whether proposal is within applicants approved scope of activities and is consistent with any extant state plans.	o Simple extension.	
XII General Provisions	o Define State Higher Education Agency as follows: The term "state higher education agency" means the state board, agency or officer primarily responsible for the supervision or coordination of institutions of higher education operating in the state, or if there is no such board, agency or officer, or if there is more than one such board, agency or officer, an officer or agent shall be designated by the Governor or by state law. o Protect the funding of the federal government's higher education data collection and dissemination activities; require the Department of Education to conduct such data collection and dissemination rather than leaving them to the discretion of the Secretary, i.e., require annual report to the Congress.	The SHEA definition applies throughout the Act.	o New Title. o Institutional Endowments - grant assistance program based on relative need. (See Title XIII for General Provisions.)	o Keep NCES at current funding level. o Increase NIE funding. o Authorize Secretary's discretionary fund for special initiatives to help states and school districts plan and implement recommendations of the National Commission on Excellence in Education.

Title	SHEEO Recommendation	SHEA Role	Simon's Proposal	Reagan's FY85 Budget Proposal
XIII			o Current Title XII. o New procedure would require congressional review and adoption by joint resolution, during a 45-day layover period, before regulations become effective. o New provision to establish a National Advisory Commission on Postsecondary Education to replace current statutory advising bodies for continuing education, student assistance, libraries, teacher preparation, and facilities.	

Senator **Stafford**. Thank you very much, Mr. Snyder. Mr. Obergfell.

Mr. **Obergfell**. Thank you, Mr. Chairman. My name is Dennis Obergfell, and I am here in my role as director of the Guaranteed Student Loan Program for the State Student Assistance Commission of Indiana, or, SSACI, as it is called.

The views I represent are those of the State Student Assistance Commission's, and its executive director, Mr. William Du Bois.

I would like to address the two programs in which SSACI has a direct relationship with programs authorized by the Higher Education Act. We operate five other programs which are entirely State funded.

One of the programs which involves a Federal-State partnership is our need-based State grant program. Our total grant program, with the addition of about $1.25 million in title IV State student incentive grant funds, is about $27.6 million for 1985–86.

SSIG funds make up about 5.5 percent of that total. Put another way, this year, if we ignore the special requirements on the use of SSIG money, and assume that SSIG funds could be applied to all students, our average grant to public university students would be $761 instead of $805, and our average grant to students at independent non-State supported schools would be $1,832 as opposed to $1,939. Emphatically, we are not saying that SSACI recommends that you eliminate the SSIG grant. These funds do enhance our awards program and increase the likelihood that the amount of a grant will induce applicants to turn the corner in their individual decisions about whether or not to attend college.

However, we will have a significant grant program with or without SSIG funds because our Governor and the general assembly are committed to programs to increase the educational attainments of Hoosiers.

By far the most significant Higher Education Act partnership between SSACI and the Federal Government is our role as a State guarantee agency for the Federal student loan programs.

These programs, GSL and PLUS, are tremendously important sources of funds to the students and parents searching for ways to finance costly postsecondary educational programs.

SSACI guaranteed its first GSL in May 1978. From then until August 30, 1985, the agency has guaranteed a total of more than $739 million in loans to more than 193,000 students.

Our agency operates these loan programs with income from three primary sources. The 1 percent insurance premium collected on each loan which SSACI guarantees, which comes from the student.

The administrative cost allowance, ACA, provided until recently by the U.S. Department of Education, and third, Federal reinsurance on default claims.

Let me interject here the fact that we are extremely disappointed by Secretary Bennett's decision to withhold ACA payments this year.

We are amazed that he adamantly adheres to that position, even after Congress, in a recent supplemental appropriations bill, specifically provided funds to pay ACA for the current Federal fiscal year.

SSACI has been a good steward. We have a no frills operation. We concentrate on the role granted to us by the Higher Education Act, which is providing access to higher education through successfully operated loan programs.

Let me now turn to ways in which we feel that the Congress can achieve savings in the Student Loan Program. SSACI has always encouraged Indiana lenders to make multiple disbursements, checks payable to both the student and the school, and has for years recommended that lenders mail loan checks directly to the educational institution.

We feel these practices have helped keep Indiana's default rate within reason, currently, 3.74 percent.

SSACI also recommends that lenders, or subsequent holders of student loans be required to submit names, addresses, Social Security numbers, and loan amounts of GSL, PLUS, and unsubsidized loans to credit reporting bureaus at the time of loan disbursement. We also suggest that States be permitted to return all Federal advances to the Federal Government within a reasonable timeframe, based on the independent termination of the overall financial condition of the agency's guarantee operations.

We support the recommendation of the Indiana Conference of Higher Education that all GSL loans be needs-tested, regardless of income, that the face amounts of GSL loans be limited to the actual need, or $2,500 annual limit, whichever is less.

We recommend that Congress reestablish the Loan Consolidation Program, allowing all secondary markets to consolidate loans of a borrower.

We also recommend that at the very least, those schools which the Secretary recognizes as having high default rates, be required to perform debt management counseling both before a loan check is cashed, assuming the check is made copayable, and after the student completes the period for which the loan was intended.

SSACI recognizes that there are those lenders who in an attempt to maximize profits will spend fewer dollars in performing adequate servicing of their student loan accounts.

We believe these kinds of practices will result in an increase in defaults. In light of the current competitive environment, SSACI encourages the Congress to examine a proposal that was recently submitted to the subcommittee by Steve Clinton, president of the Indiana Secondary Market for Education Loans.

Mr. Clinton proposed that the Federal Government recognize the dollars that could be saved by motivating lenders to perform effective servicing and discourage those lenders which insist on retaining their less than adequate performance levels.

SSACI feels lenders should also be encouraged to make more secure loans. Encouragement should be in the form of larger yields to those organizations which are expending the resources to control defaults.

Conversely, those lenders which perform less diligent servicing functions should not be provided the full yield of Treasury bill plus 3.5 percent.

In order to implement such a proposal, a study of the Call Report information, preferably by the General Accounting Office, should be performed to establish benchmarks for acceptable performance.

Increased or reduced special allowance eligibility could be established annually for the ensuing four quarters, subsequent to Call Report submission.

Finally, we would encourage Congress to increase Federal grant funds to needy students in an effort to ensure a reasonable balance between grant and loan resources, as has been mentioned here this morning. This would not only help maintain proper access to higher education to those needy students throughout the country, but would also prevent students from becoming wards of society as a result of their borrowing more for their educational needs than they can ultimately handle.

I would like to thank you for this opportunity to present these views. I will be happy to respond to any questions you might have.

[The prepared statement of Mr. Obergfell follows:]

TESTIMONY BY DENNIS A. OBERGFELL
DIRECTOR, INDIANA GUARANTEED STUDENT LOAN PROGRAM
STATE STUDENT ASSISTANCE COMMISSION OF INDIANA
Before The
SUBCOMMITTEE ON EDUCATION, ARTS AND HUMANITIES
OF THE U.S. SENATE
COMMITTEE ON LABOR AND HUMAN RESOURCES
Thursday, September 26, 1985

Mr. Chairman and Members of the Subcommittee--

My name is Dennis Obergfell, and I am here in my role as Director of the Guaranteed Student Loan Program for the State Student Assistance Commission of Indiana (SSACI). The views I represent are those of the State Student Assistance Commission's and its executive director, Mr. William Du Bois.

I would like to address the two programs in which SSACI has a direct relationship with programs authorized by the Higher Education Act. We operate five other programs which are entirely state-funded.

One of the programs which involves a federal-state partnership is our need-based state grant program. For the academic year just beginning the Indiana General Assembly at the urging of Governor Robert D. Orr allocated $26.1 million in state funds, a 15 per cent increase over 1984-85.

Our total grant program, with the addition of about $1.52 million in Title IV State Student Incentive Grant funds, is about $27.6 million for 1985-86. SSIG funds make up about 5.5% of that total.

Put another way, this year, if we ignore the special requirements on the use of SSIG money and assume that SSIG funds could be applied to all students, our average grant to public university students would be $761 instead of $805 and our average grant to students at independent, non-state-supported schools would be $1,832 instead of $1,939.

Emphatically, I am not saying that SSACI recommends that you eliminate the SSIG grant. These funds do enhance our awards program and increase the likelihood that the amount of a grant will induce applicants to turn the corner in their individual decisions about whether or not to attend college.

Viewed from the larger perspective of the total federal-state-institutional student financial assistance system however, the SSIG funds are not integral or crucial to Indiana's grant program.

We will have a significant grant program, with or without SSIG funds, because our governor and the General Assembly are committed to programs to increase the educational attainments of Hoosiers. In fact, the Governor and the General Assembly have authorized an expenditure of $30 million on the 1986-87 academic year. This figure does not include SSIG funds which might be available. Thus, the state appropriation will increase another 15 per cent on top of the 15 per cent increase this year. Those substantial increases demonstrate the kind of commitment to access to higher education which Indiana state government has and is making.

By far the most significant Higher Education Act partnership between SSACI and the federal government is our role as the state guarantee agency for the federal student loan programs.

These programs--GSL and PLUS--are a tremendously important source of funds for students and parents searching for ways to finance costly post-secondary educational programs.

SSACI guaranteed its first GSL in May of 1978. From then until August 30, 1985, the agency has guaranteed a total of more than 739 million in loans to more than 193,000 students.

Our agency operates these loan programs with income from three primary sources:

1) The 1% insurance premium collected on each loan which SSACI guarantees;

2) The administrative cost allowance (ACA) provided until recently by the U.S. Department of Education, and;

3) Federal reinsurance on default claims.

Let me interject here the fact that we are extremely disappointed by Secretary Bennett's decision to withhold ACA this year. And we are amazed that he adamantly adheres to that position even after the Congress, in a recent supplemental appropriations bill, specifically provided funds to pay ACA for the current federal fiscal year. SSACI has been a good steward. We have a no-frills operation. We concentrate on the role granted to us by the Higher Education Act--providing access to higher education through successfully operated loan programs.

The Secretary's decision to withhold ACA won't cause our program to fold this year or next. However, we rely on ACA to fund our student loan operations. If this arbitrary policy is continued for any length of time, it will sap our strength and undermine our ability to sustain a program which has operated in the public interest. Ultimately without ACA payments, our program costs will have to be transferred to students by way of higher insurance premiums.

Let me now turn to ways in which the Congress can achieve savings in the student loan program.

SSACI has always encouraged Indiana lenders to make multiple disbursements, checks payable to both the student and the school, and has for years recommended that lenders mail loan checks directly to the educational institution. We feel these practices have helped keep Indiana's default rate within reason, currently 3.74% We strongly urge the Federal Government to adopt these policies as part of the program's reauthorization.

Multiple disbursements, we feel, help students to better budget their student loan dollars inasmuch as each disbursement is usually used for direct educational expenses, such as tuition and fees, as the Higher Education Act intented. Certainly, multiple disbursements help the student incur less debt. In turn, this ultimately decreases interest benefits which the Federal Government has to pay to lenders. For example, in the case of a student who elects not to attend second semester, fewer dollars will be initially disbursed. I would add that a decrease in indebtedness results in lower default claim payments to lending institutions.

Copayable checks sent to the educational institution helps to ensure that borrowers use their GSL proceeds for educationally related expenses. Currently, 374 our of 476 lenders in the State of Indiana make their checks payable to the student and the school. To date, we have fielded no serious objections for any of Indiana's educational institutions in regards to having to handle copayable checks.

I would like to highlight a few other recommendations in which SSACI concurs, which have been made by the Indiana Conference of Higher Education's Task Force on Reauthorization and by NCHELP.

1) On all new loans, authorize guarantee agencies to raise the interest rate, in the event of a default, to the maximum rate permitted by state law.

2) Enact Federal legislation to override existing state and local laws which prevent guarantee agencies from garnishing GSL defaulter earnings and permit us to use garnishment to collect defaulted loans.

3) Establish a statute of limitations of at least six years on defaulted student loans in Federal law. (Indiana's is six years.) States with longer statutes of limitation would not be affected.

4) Require lenders or subsequent holders of student loans, to submit names, addresses, social security numbers and loan amounts of GSL, PLUS, and unsubsidized loans to credit reporting bureaus at the time of disbursement.

5) We also suggest that states be permitted to return all federal advances to the Federal Government within a reasonable time frame based on an independent determination of the overall financial condition of the agency's loan guarantee program.

6) We also support the recommendation of the Indiana Conference on Higher Education that all GSL loans be need-tested, regardless of income, that that the face amounts of GSL loans be limited to actual need or the $2,500 annual limit, whichever is less.

7) We also recommend that congress re-establish the Loan Consolidation Program allowing all secondary markets to consolidate the loans of a borrower. This would not only assure the availability of a consolidation program to the bprrower, but would also allow borrowers, particularly those with high indebtedness, to stretch out their payments thereby easing their monthly obligations.

8) We also recommend that schools which the Secretary recognizes as having high default rates, be required to perform debt management counseling both before a loan check is cashed (assuming the check is made copayable) and after the student completes the period for which the loan was intended.

Congress might even wish to encourage the Secretary to require all eligible educational institutions to participate is some form of pre-disbursement debt management counseling.

9) Federal subsidies are largely responsible for the high levels of involvement by commercial lenders today. This abundance of commercial lenders who are making student loans, has resulted in a highly competitive environment where some lenders, in an attempt to attract borrowers, sell students on the idea of an "easy" loan process without the "complications" associated with the need for a credit check, a cosigner, or an interview.

In addition there are those lenders, who in an attempt to maximize profits, will spend fewer dollars in performing adequate servicing of their accounts. We believe these kinds of practices will result in an increase in defaults.

In light of the current competitive environment SSACI encourages the Congress to examine a proposal that was recently submitted to this subcomittee by President Steve Clinton of the Indiana Secondary Market For Education Loans. Mr. Clinton proposed that the Federal Government recognize the dollars that could be saved by motivating lenders to obtain more secure loans, perform effective servicing, and discourage those lenders which insist on retaining their less than adequate performance levels. Encouragement should be in the form of larger yields to those organizations which are expending the resources to control defaults. Conversely, those lenders which perform less diligent servicing functions should not be provided the full yield of Treasury Bill plus 3.5%. In order to implement such a proposal, a study of Call Report information, preferably by the General Accounting Office, should be performed to establish benchmarks for acceptable performance. Increased or reduced special allowance eligibility could be established annually, for the ensuing four quarters subsequent to Call Report submission. Information to perform this analysis is available to the U.S. Department of Education and is already computerized.

10) Finally we encourage Congress to increase federal grant funds to needy students in an effort to ensure a reasonable balance between grant and loan resources. This would not only help maintain proper access to higher education to those needy students throughout the country, but would also prevent students from becoming wards of society as a result of their borrowing more for their education than they can ultimately handle.

We thank you for the opportunity to present these views. I will be happy to respond to any questions you might have.

Senator **Stafford**. Thank you, Mr. Obergfell. Flossie, as you know, the majority of schools in Vermont are so-called high cost institutions.

Are you confident as a former teacher, and now, as chairperson of the State education committee, that Vermont's students are getting a quality education?

Mrs. **Robillard**. Yes, Senator. I feel they are with the resources that are available, but again, my concern is for the student, the student's ability to be fully prepared when they go out into the market.

Senator **Stafford**. You mentioned the increase in the so-called nontraditional students in Vermont colleges and universities.

How do you propose assisting them, and what has Vermont done in this area?

Mrs. **Robillard**. Well, as I stated, we have those work study programs, and the grants and the loans with VSAC. In other words, they will take their package and refine it to meet the needs of the student, to correlate that with their work performance and their job market performance, and education that is available in their regions.

They are doing a very good job in that area.

Senator **Stafford**. Thank you very much. Representative Delco, in your written testimony, you mention the need to focus more attention on quality education, rather than just access to education. Do you have any specific suggestions with regard to the various higher education programs we are proposing to reauthorize this coming year?

Mrs. **Delco**. Yes, Senator, I do. You alluded earlier to the "Nation at risk" study that was done, "K through 12." Texas, along with at least three other Southern States and innumerable States throughout the country, are initiating studies within our own States to probe that exactly question.

One of the concerns that we have is obviously the imbalance between liberal arts and specific job training. We are also concerned, for example, in teacher education, that the blame cannot rest solely with the public schools, that we need to look at the schools of education.

And the Southern Regional Education Board has done a study in that area and come up with the reality, that a lot of the courses in the colleges of education deal with methods and techniques for teaching, as much as half of the curriculum in specific subject areas, and so some recommendations talk in terms of increasing content and having a more generic single course that deals with the subject of teaching methods.

We also think that when you talk about specific areas, that one of the critical ingredients in that that we are going to be probing is that the most essential ingredient is teaching people how to learn, considering the reality that as we move into the end of this century, people are going to have to change jobs more often, and the ability to listen and learn may be more important than a particular skill.

In Texas, we are looking specifically at things like whether or not we have more institutions than we need at this point, whether those institutions are meeting the roles and scopes and missions for which they were designed, and in the name of quality education if our dollars are best spent in small schools or in concentrating certain critical areas in specific institutions, and letting our people get to those.

We also think that the question of access, as a means of quality to our large minority student population, is critical, and we have in terms of our last session, and a constitutional amendment, put significant new dollars into our two State-supported historically black colleges, recognizing that by choice, a lot of our black students choose to go there, and they are entitled to the same level of quality and participation that our major traditionally white institutions have.

Senator **Stafford**. Thank you. Now you might like to know that—and maybe you know this—that we did devote an entire panel to the presidents of the black colleges, earlier, in our hearings.

Mrs. **Delco**. Yes; but I could not miss the opportunity, Senator, to add another underline and exclamation point because it is such a critical area.

Senator **Stafford**. Right. And Mr. Obergfell, I want you to know that Senator Quayle, who is a very valuable member of this committee had hoped to be here, but he is in the middle of a markup in the Armed Services Committee. So we send you his apologies for not being here to introduce you and his regrets that he was not here to hear you, but we will see that he reads your statement.

Mr. **Obergfell**. Great. Thank you, Senator.

Senator **Stafford**. Mr. Snyder, recent trends seem to indicate that the States are increasing their appropriations for higher education institutions within their borders.

What do you think is causing this change in funding? Is this true in your State and other States that you are familiar with?

Mr. **Snyder**. Well, it is not true, Senator, to the extent I wish it were——

Senator **Stafford**. I see.

Mr. **Snyder** [continuing]. Certainly in my State and perhaps in many other States. But I think the States are beginning to pick up much of the responsibility that used to be shared. I know we have got several new initiatives underway in Kentucky. There have been some cuts, as you are painfully aware, in education funding from the Federal level, elementary, secondary, higher, student assistance, facilities, all kinds of things.

We do not have the partnership we once had, and someone has had to pick that up, and it has not been without pain at the State level, I assure you.

Senator **Stafford**. Thank you very much. Mr. Obergfell, your testimony outlines quite a few areas that have been of concern to this subcommittee for a considerable period of time.

You will be pleased to know that we have addressed these issues in our fiscal year 1986 budget reconciliation proposal, including requiring the Department of Education to repay ACA funds, and loan consolidation.

I would like to thank you on behalf of this subcommittee for your positive suggestions, and I want to thank you all for—I know the time and trouble you have gone through to prepare statements for us, and to come all the way to Washington to be with us this morning.

So, for the whole committee, and those who were not able to be here, let me extend our appreciation to you.

The last witness this morning will be the Honorable Peter Smith, the Lieutenant Governor of the State of Vermont. We are very glad for the committee to welcome Lt. Gov. Peter Smith here. Some 30 years ago, I had the privilege of sitting in the same job that Lieutenant Governor Smith has now, but it pays much better now than it did in my day, but not much in either day, I might hasten to say.

And I think, Peter, that at one time you had a summer exposure to my office here in Washington, if I am correct, and so I expect great things of you, and we are ready to hear your testimony, which I also assume will be delivered in Calvin Coolidge brevity.

STATEMENT OF HON. PETER P. SMITH, LIEUTENANT GOVERNOR, STATE OF VERMONT, MONTPELIER, VT

Lieutenant Governor SMITH. It is not written in Calvin Coolidge's style but it will be delivered in that style.

Senator Stafford, thank you for inviting me. I would like to just say that you know well, and I think that the members of this committee know well, that I, as chairman of the board, and the other members of the board of the Fund for Improvement of Postsecondary Education think it is in deep trouble.

I am therefore not going to dedicate much of my 5 minutes to describing just how broad and deep the trouble is. We will have a couple of pithy examples.

But really, I would like to tell you why it is important to save it as it is. Especially in the context of the size, the magnitude of the programs, and the importance of the programs you have been hearing about this morning, I think the fund represents a remarkable success story in Federal aid, in Federal structure to education.

Three of its former chairmen in trying to describe it earlier this year, described it as "like Mighty Mouse, a miniscule item in the Federal budget but a powerful force for improvement in postsecondary education." I like that.

Formal outside evaluations of the fund's work have revealed that 88 percent of the projects initiated with fund grants continue and usually grow following the end of Federal funding.

And maybe that is because 97 percent of all the applications which are made are rejected, and only 3 percent are accepted.

How can a program with so little money, with such a high rejection rate, still have over 2,000 proposals a year? First, because there is trust in the integrity of the review process, because it is an open program, and consequently, those who persevere, those who win, if you will, in that process of getting a fund grant, have an enormous commitment, well-thought out projects, leverage change way beyond the kind of change that traditionally, we see, related to money and Federal programs.

The fund is on the leading edge and that is right where its creators, the Members of the U.S. Congress who wrote the original legislation, which was, I am happy to remind you, Republican legislation, wanted it.

Current guidelines include looking at the changes taking place in our economy, and education's responses to those changes.

Looking at the new participants, new partnerships, new patterns of education. Square in the middle of that is a small grant that includes the UAW, universities, and the management of major automotive manufacturers to look at retraining, on-the-job training, worker education. Another major area currently is new technology, technology study.

We have 50 separate projects linked together in computer-related education, teacher education. You went into it briefly with Governor Kean.

But the Fund for Improvement of Postsecondary Education funds limited, highly focused teacher education innovations, trying to get at some of the creative solutions that he has described and I know you have heard about.

Even with this record I would say we are under serious attack, I have described it to you, and I am hoping that you and this committee will go beyond reauthorization to some of the immediate concerns regarding program independence, management, and integrity.

In the submission today I have included attachment 1, which really lists what I believe are the key elements to giving the Fund for Improvement of Postsecondary Education a firm foundation, and to get at independence, management, and integrity.

The issue, really, at base, is the autonomy and the flexibility of the staff, the director, and the board, with the Secretary, to set priorities and guidelines in the awarding of grants.

This is exactly what the sponsors had in mind, originally, almost 15 years ago. The funding strategy was a foundation concept and they wrote, "The essence of the concept is independence and responsiveness to externally initiated proposals." They intended to give maximum encouragement to creative thinking rather than fitting proposals to guidelines.

They wanted it to be from the bottom up and they believed that change came from local needs, local situations, local opportunities, and this program and its statute, in concept, design, and management, has been intended to be that way, comprehensive, field responsive, and innovative.

That is in the Federal Register, and actually, I have the date wrong in my testimony, it is April 9, 1982, in which a previous Member, actually of the House of Representatives, the Honorable Carl Perkins, interrogated whether or not when they said Secretary they meant Secretary, and the response, in sum, and I will not read it to you, is, no, they meant director, but everybody uses the term Secretary.

And again, as recently as 1982, the previous reauthorization of this bill, the point was made, clearly, that not only the intention but the history was that this program would have a high degree of autonomy.

Even with this history we are now in a situation, as you will see in our second set of attachments, 2 and 2-A, entitled "FIPSE Priorities, 1984-1985." Priorities proposed by the Secretary's Office is attachment 2-A. That in fact we are being asked to look at and run with an entire set of priorities that were not developed with consultation from the field, from the board, or from the staff.

They eliminate the access agenda which you have heard about today. They eliminate the economy agenda substantively, which you have heard about today briefly; the technology agenda which you have heard about today; and the nonconventional learner's agenda, which, as you know in the State of Vermont, literally, through the community college, external baccalaureate and assessment portfolio programs, allows thousands of Vermont adults to go to school every year, who were not going to school as recently as 12 years ago.

As Chairman of the National Board of FIPSE, I communicated this situation and my concern to other members of our board. These men and women have all been active in the board's deliberations.

They take their appointments seriously, and I might add, they are all appointments of this administration. We received 12 replies to my letter, which is almost all the members.

The replies were unanimous in voicing serious concern about the tone and the substance of the Secretary's direction re FIPSE, and asked me to take whatever steps I could as chairman of the board, to change that direction. One example that I think is poignant. Yesterday, at the L'Enfant Plaza Hotel in this city, the fourth anniversary of Executive Order 12320, Instructional Models for Technology, was a meeting sponsored by the White House Initiative on Historically Black Colleges and Universities.

There were three model programs. Each one of them are FIPSE programs. Two of them would not be funded under the new priorities and the third one would be in doubt.

Our nonbureaucratic structure has been respected by every Secretary of Education and every Commissioner since the inception.

The current Secretary's attempt to take it over will simply turn this into another pot. I do not think that that is really what this administration intended, nor is it in line with the history.

Our program, Senator, we believe is unique. It leverages significant change for small amounts of money. It has an unparalleled track record. We need your support, and unfortunately, I have to say directly, we do not like to do this in Vermont, and I suspect you like it even less down here, but we need your protection, because our staff, in order to be effective has to be free to write the guidelines, review the proposals, make the grants, and monitor progress as they have in the past. I speak for the board with some confidence when I ask you to do what you can to protect this longstanding and proven success. Thank you very much.

[The prepared statement of Lieutenant Governor Smith follows:]

TESTIMONY OF
LIEUTENANT GOVERNOR PETER SMITH
STATE OF VERMONT

IN THE HEARINGS BEFORE
THE SENATE SUBCOMMITTEE ON EDUCATION
ARTS, AND HUMANITIES
REGARDING THE HIGHER EDUCATION ACT - TITLE X
SEPTEMBER 26, 1985

MR. CHAIRMAN, MEMBERS OF THE COMMITTEE:

It is a pleasure for me to be here today to testify in support of reauthorization for the Fund for Improvement of Postsecondary Education (FIPSE). The Fund's "independent, innovative, venture capital" approach to improving higher education has earned high praise from the field and previous Secretaries of Education as well, as the Congress. In following both the letter and the spirit of its legislation, FIPSE has been extraordinarily successful both as a structural and as a substantive force for change in postsecondary education.

The Fund represents a remarkable success story in Federal aid to higher education. Its importance and the broad results of its work so far are quite surprising in view of its quite small size and modest funding. It is, as the three former chairman of the its National Board put in a letter regarding this year's appropriations, "like Mighty Mouse - a miniscule item in the Federal budget but a powerful force for improvement in postsecondary education."

Formal outside evaluations of the Fund's work have revealed that an astonishing 88% of projects initiated with Fund grants continue and usually grow, following the end of Federal funding. The Fund has successfully extended its influence even beyond the specific projects which it has supported and the grant dollars which it has awarded. It has become a reliable and productive source of information and new ideas for all of us in higher education.

One of the most interesting programs involves postsecondary responses to the changes which are taking place in our economy. Education's responses to those changes require that there be new participants, served by new partnerships, using new patterns of education. The population served by these grants is usually adults; that in itself is a new direction for many postsecondary institutions. These projects often involve a partnership or collaboration which links businesses, educational institutions, labor organizations, local governments, and community organizations. The Fund has been in the lead in developing the patterns and methods which are needed for an effective response.

Another major area of recent Fund support and activity has been the uses of new technology in education. There is now a Fund-initiated Technology Study Group, which links more than 50 separate projects, primarily in computer-related education. The involvement of the Fund in issues of educational technology illustrates its impressive record of finding the right time to support new ideas.

Another area of Fund activity centers around issues in teacher education. All of us in education, including members of this committee, have been greatly concerned with the state of teaching in our elementary and secondary schools. The conditions of the teaching profession no longer attract many of our best students. The process of teacher training has not kept pace with new needs. There is a proper concern about appropriate standards of competence and performance for teachers. Again, in these issues of teacher education, we find the Fund playing an important and creative role. They have supported a number of individually significant projects in the improvement of teacher education. Perhaps more importantly, they have again, in partnership with some of the major foundations, contributed usefully to the dialogue which must take place among various participants in teacher education, if we are to make the progress which is required.

But today, FIPSE is under serious attack from within the Office of the Secretary of Education. The program as it was designed, as we know it, as it has operated for years, will be dramatically changed if no action is taken by Congress. The Fund is a special place. The emphasis should be on others copying it rather than trying to destroy it. In Attachment 1 to this testimony you will find an outline of what I believe are the fundamental elements of FIPSE,those elements which make FIPSE what it is.

I urge you to move beyond the issue of reauthorization for the Fund to the pressing and immediate concerns of program independence, management, and integrity: In short, please ask what you are authorizing for. I hope you will add report language which creates a firm foundation for these key elements. I worry that if you do not act forcefully, the fund may, despite what continues to be a model statute, cease to play any very creative or useful role.

There are two ways the Fund can fail in its statutory mandate:

1. a lack of will to support the kinds of innovation happening in the field to broadly improve postsecondary education; and/or
2. a loss of the intended independence and field responsiveness which has been the hallmark of this program from its inception.

Specifically, in its chartering memorandum, the first item addressed was funding strategy and the approved mechanism was a foundation concept, understanding that, "the essence of this concept is independence and responsiveness to externally initiated proposals."

The second item was the development of priorities. Emphasis was to be on broad priorities and external initiative, "giving maximum encouragement to creative thinking rather than fitting proposals to guidelines."

Through it all, as the version of the original sponsors of the legislation intended, ran the theme that change, to be effective, must be driven by local needs, situations, and opportunities. This program in statute, concept, design, and management was intended to be comprehensive and field-responsive.

No Commissioner, Assistant Secretary, or Secretary of Education has ever unilaterally set the Fund's priorities, until August, 1985, when Secretary Bennett did just that. Let me give you some history.

Earlier this summer the Secretary's Office proposed a reorganization plan which would have moved FIPSE from the OPE, lowered FIPSE's bureaucratic reporting level, and linked it to research operations and the Secretary's discretionary fund. The proposed reorganization would have affected the degree of independence of the Fund seriously. Subsequent actions have challenged FIPSE's ability to keep current staff, hire new staff, and set priorities. FIPSE was not consulted. The American Council on Education protested the move. Leaders of both the House and Senate authorizing committees were concerned that the move would jeopardize FIPSE's independence. FIPSE remains where it was.

On August 5, I met with Secretary Bennett and his aides, at his request. Among those present was Chester Finn, the new Assistant Secretary for the Office of Educational Research and Improvement, who had developed the reorganization plan which was to include FIPSE under his organization. The subject of FIPSE priorities arose, and Finn stated that the Secretary should set the priorities. I replied that the Secretary certainly had a role, but that the independence of FIPSE was an important hallmark which needed to be preserved. The Secretary concurred. This principle has been discussed in previous reauthorization bills and explicitly in the Federal Register of 2/8/82.

After that meeting the FIPSE staff began writing "An Overview of FIPSE Priorities" in order to make sure that there would be no misunderstanding of established FIPSE procedure in the Secretary's

Office. This paper was completed on August 15 and delivered to the Secretary's Office the following morning.

On August 19 the Secretary's Office sent a statement of its priorities for FIPSE to the Acting Assistant Secretary for Postsecondary Education, Ron Kimberling. As you can see, the new priorities diverge radically from those generated by the field. (see attachment 2)

They eliminated the access agenda, the economy agenda, the technology agenda, and the non-conventional learners agenda. These new priorities signify several things:

1. A denial of legislative intent and management practice from the program's inception;
2. Unilateral action taken by the Secretary's Office;
3. A severe narrowing of program focus away from the intended flexibility and breadth.

As Chairman of the National Board of FIPSE, I communicated the situation and my concerns to the other members of the Board. These men and women have all been active in the Board's deliberations. They take their appointment seriously in the best tradition of American government. And, I might add, they are all appointments of this administration. We received 12 replies to my letter. the replies were unanimous in voicing serious concern about the tone and the substance of the Secretary's direction re: FIPSE and asked me to take whatever steps I could as Chairman of the Board to stop the new initiatives.

These new priorities will stop the current grant program dead in its tracks, cutting funding to over 50 percent of the current projects.

Let me give a few examples of what these changes would mean.

Three programs were highlighted yesterday at a conference at the L'Enfant Plaza Hotel sponsored by the White House Initiative on Historically Black Colleges and Universities. The conference was headlined "Instructional Models for Technology" and the three exemplary initiatives used as models were:

*Atlanta University: The Introduction of Computerized Bibliographic and Information Resources into the Library Services of 17 Historically Black Institutions;

*Council for the Advancement of Experiential Learning: Expanding Adult Learning in Historically Black colleges and Universities; and

*Southern Regional Education Board: Improving the "Pass Rate" of Students in Historically Black Colleges and Universities on Teacher Certification and Other Standardized Tests.

All of these models are FIPSE projects. Under the new guidelines the first two would not have been funded and the third would have been in doubt. (see attachment 3)

In addition, the Fund's leading edge grant to the UAW and a major automotive manufacturer to create workplace-based adult education and retraining in partnership with both the union, the management, and local universities would not have been funded.

Finally, in my state of Vermont, had these guidelines not been in force, there would be no community college system, no baccalaureate program for adults on a state wide basis, and no Assessment of Prior Learning Portfolio Program. Thousands of Vermont adults would be without the opportunities which they currently are using.

Unless you act now, with language in this authorizing bill which protects the integrity and the independence of this program, it will die a death of 1000 bureaucratic cuts. When you lose FIPSE, you lose what Terrell Bell, previous Secretary of Education, called the most successful program in the department. You lose a program renowned for its ability to foster constructive change with a success rate of over 85 percent in its grant continuation program. And you lose a successful experiment in federal government structure. FIPSE is dedicated to field responsiveness, to listening and building from the bottom up, not telling and controlling from the top down. And it works very well.

This non-bureaucratic structure has been respected by every Secretary of Education since the inception of the Department. Secretary Bennett's takeover of the program priorities will turn FIPSE into just another pot of money in Washington run by bureaucrats to fund their own agenda. That is not, as I understand it, the direction which this administration intends nor is it in line with either the history or the intent of FIPSE.

ATTACHMENT 1

What fundamental elements are essential if FIPSE is expected to continue its current approach to improving postsecondary education and continue to operate effectively?

1. **Authorization.** The legislation (and report language) needs to establish the basic parameters, including comprehensiveness (of both eligibility and program mandate), field-responsiveness, and focus on change/innovation/improvement. The current legislation does not specify field-responsiveness, though in many ways that is a corollary of the other two parameters.

2. **Appropriation.** Money, awarded through annual competitions, is the essential FIPSE leverage. Furthermore, FIPSE needs a sufficient amount to be able to truly conduct a comprehensive program (need at least $6M for new awards each year, which means $15-18M overall).

3. **Sufficient independence within the Department of Education to carryout the integrated functions of:**

   - Selecting staff, including balancing continuity and new ideas,
   - Setting priorities,
   - Establishing a review process that is, and is perceived to be, fair and open,
   - Making award decisions,
   - Monitoring and assisting funded projects,
   - Analyzing and disseminating project results, and
   - Working with a substantive National Board,

   Normally, these administrative functions are not part of reauthorization discussions. Yet it has become clear, during the last thirteen years, that these functions must be an integrated package for FIPSE to operate effectively, and that these individual items are vulnerable to both political and bureaucratic excesses. Close contact with the field of postsecondary education is the bedrock of a program whose mandate is framed by comprehensiveness, field-responsiveness, and change. Each of these seven functional elements connects FIPSE to the field in a unique but complementary way. Inhibiting any one function, therefore, impairs the overall FIPSE goal of improving postsecondary education.

ATTACHMENT 2

FIPSE's 1984-85 Priorities

Program Priorities: The following program priorities apply to the Comprehensive Program for Fiscal Year 1986.

(1) Learning important and difficult subjects and skills, including math, science, writing, foreign languages, reasoning, analysis and problem-solving.

(2) Ensuring access to postsecondary education by improving course and program completion rates and by increasing and improving the articulation between high school and between two- and four-year colleges.

(3) Providing education for a changing economy by providing educational programs and services for workers, unemployed individuals, businesses, and communities.

(4) Understanding educational uses and implications of the new technologies, such as computers, television, and other electronic media.

(5) Improving graduate and professional education by increasing access to postsecondary educational institutions at the graduate level and by reforming post-baccalaureate programs.

(6) Enhancing teacher education and cooperation with the schools by developing teacher education programs, teacher in-service programs and cooperative programs between high school and colleges.

(7) Strengthening organizational capacities to improving learning by enhancing institutional leadership and management, the abilities of faculty and other staff, and resources for incentives for improvement.

Under the Comprehensive Program competition, projects that do not address one of these priorities are also eligible for support if they address other significant problems in postsecondary education.

ATTACHMENT 2A

1986 Priorities Proposed by the Secretary's office

(1) Renewal of the undergraduate curriculum based on a clearly articulated vision of the knowledge and skills an educated person should possess, and on the intellectual heritage of Western civilization.

(2) Recognizing and rewarding outstanding undergraduate teaching through improved policies and procedures on hiring, promotion, and tenure.

(3) Revitalization and reform of teacher education through efforts to:

- expeditiously qualify for school-teaching able persons who have previously earned degrees in fields other than education and who are present lack pedagogical training;
- strengthen the content, knowledge and expertise of current and prospective teachers in the subjects that they teach.
- attract into and retain in the teaching profession persons of commitment and intellectual strength; and
- ensure that persons preparing to teach have a solid grounding in basic disciplines of the liberal arts.

(4) Designing approaches to preparing candidates for the Ph.D. degree that stress development of effective undergraduate teaching skills.

(5) Raising the standards and expectations of academic performance for the bachelor's degree.

(6) Strengthening the liberal arts education of students enrolled in undergraduate professional programs and graduate professional students.

(7) Developing better means of appraising educational quality, assessing student learning and fostering excellence in postsecondary institutions of all kinds.

(8) The design and introduction of cost-effective methods of instruction and operation.

(9) Strengthening organizational capacities to improve learning by enhancing institutional leadership and management, the abilities of faculty and other staff, and resources for incentives for improvement.

ATTACHMENT 3

FOURTH ANNIVERSARY OF EXECUTIVE ORDER 12320

"Instructional Models for Technology"

Sponsored by the White House Initiative
on Historically Black Colleges and Universities

September 25, 1985
L'Enfant Plaza Hotel
Washington, D.C.

8:30 a.m. - 9:00 a.m. Registration
Coffee and Donuts

9:00 a.m. - 9:30 a.m. ------------------------------ Monet Suite II

Welcome/Opening Remarks urg,

Dr. C. Ronald Kimberling
Acting Assistant Secretary lt
for Postsecondary Education

Introductions 0)

Dr. Margaret J. Seagears
Executive Director
White House Initiative on
Historically Black Colleges
and Universities

9:30 a.m. - 10:10 a.m.------------------------------ Monet Suite II

MODEL I

Moderator: Mr. Sterling Nichols, Education Program Manager, White House Initiative on Historically Black Colleges and Universities

Presenter: Dr. Lorene B. Brown, Project Director, School of Library and Information Studies, Atlanta University, Atlanta, Georgia

Atlanta University: The Introduction of Computerized Bibliographic and Information Resources into the Library Services of 17 Historically Black Institutions.

Presenter: W.C. Brown, Director, Institute for Higher Educational Opportunity, Southern Regional Education Board, Atlanta, Georgia

Southern Regional Education Board: Improving the "Pass Rate" of Students in Historically Black Colleges and Universities on Teacher Certification and Other Standardized Tests.

The rate at which education majors in a majority of the historically Black colleges and universities are failing teacher certification tests has become an alarming and acute problem. The future of education programs in many of the institutions is threatened. The loss of these programs would severely penalize the institutions and the public school systems which depend upon them for teachers. In this connection, the proposed project is designed to assist faculty in these institutions develop, implement and execute procedures and policies which will substantially improve the performance of their students on teacher certification and other standardized tests.

11:40 a.m. - 12:00 p.m. --------------------- Concluding Remarks
Dr. Sven Groennings
Director
Fund for the Improvement
of Postsecondary Education

12:00 p.m. -----------------------------------Lunch (on your own)

1:30 p.m. - 3:30 p.m. ------------------------------- Monet Suite II

The three presenters
will be happy to speak
with you informally
this afternoon.

Senator **Stafford**. Thank you very much, Governor. From your role as Chairman of FIPSE, how do you respond to charges of a decline in the quality and value of higher education in America?

Lieutenant Governor **Smith**. First of all, I think we are getting better at measuring higher education, so therefore, we know more about it.

It is like when you discover it really was a skunk you kicked, and, you know, before you thought it was something else.

The fact of the matter is, I do not think standards have declined. I think we are better at understanding what we are doing.

Second, I would argue that the "good news" is that finally, after we now have an entire generation of Hispanics, blacks, other minorities, coming through our primary and secondary school systems, the SAT scores in this country are going up and performance in colleges, and I think the quality is as good or better then it has ever been before. Why?

Because we have the first generation of children coming through who had hot lunches, who had preschool and early education, who had Headstart, who had title I, and now, hopefully, they will be able to take advantage of the postsecondary opportunities. So I think we know more and that allows us to do better. But I can tell you that to the extent that higher education is prospering, one of the reasons is that the winds of change blow through it, and FIPSE is one of the organizations that encourages those winds of change.

Senator **Stafford**. Thank you. I agree with you that the quality of education is improving in this country, not declining.

Throughout our hearings we have heard concern expressed that our colleges and universities will face a decline in personnel from a variety of reasons, in the future.

Has FIPSE undertaken any studies in this area, that have suggested innovative ways to approach this shortage of teaching personnel at all educational levels?

Lieutenant Governor **Smith**. We are, and I cannot give you chapter and verse, although I could make sure you got the information.

But I think the way that FIPSE is helpful is, that instead of establishing firm categories and asking people to write programs, and trying to guess what it is we want, we state broad themes and we ask the people in the field to interpret those themes to their situation.

Schools and universities are, in many respects, nothing more nor less than an expression of the society around them, in terms of the form they take, the people who work there, the people who go there, and what they do. Now, the society around them is changing, and so where is FIPSE involved, in terms of your question?

Having people who are primarily industrially or business based in the classroom, the partnerships that I referred to earlier, getting colleges off campuses—all those kinds of things which get new people learning, new people teaching in new kinds of situations and settings, yes.

Senator **Stafford**. Thank you very much, indeed, Peter. We appreciate your coming down here and helping the committee.

I know some of the other witnesses may still be here and it is possible that members of our committee may have some questions in writing.

I hope that those who have been witnesses this morning, if questions in writing are directed to them, would be willing to answer them within a reasonable time.

[Additional material supplied for the record follows:]

TESTIMONY ON FEDERAL SSIG PROGRAM

Delivered to U.S. Senate Subcommittee on Education
September 26, 1985

The federal State Student Incentive Grant (SSIG) program has failed to fulfill its promise in several states due to the improper administration of the program by the U. S. Department of Education, not because of any deficiency in the law or in Congressional intent.

Indeed, the SSIG program, when enacted more than a decade ago, was a farsighted, worthy, cost-effective, low fiscal impact, visionary effort by Congress. It sought to give states an incentive to increase need-based student financial aid programs at all higher education institutions. The underlying theory was sound: to match increased state financial aid efforts on a 50-50 basis, and stimulate states to take more responsibility for what already is basically a state obligation, that is, the financing of higher education opportunity.

But in several states, Nebraska included, the promise of SSIG has been defeated by the Department of Education's invitation to states to do less than Congress intended by law. In Nebraska, the U. S. Department of Education virtually invites the Nebraska Legislature to require independent institutions to contribute their own share of the match in order to participate in the program. This policy has frustrated Congressional intent, denied hundreds of thousands of dollars to financially needy Nebraska independent college students, and has actually provided our state with a disincentive to increase need-based aid.

This need not have been. Under the Ford and Carter administrations, federal SSIG program administrators gave the Nebraska Legislature the needed time to enact appropriate state laws. This proper and enlightened policy worked: in 1978, the Nebraska Legislature enacted a need-based financial aid program to match federal SSIG dollars. That program was found constitutional by a unanimous Nebraska Supreme Court in 1981. Since that time, however, the Department of Education has said that Nebraska can continue to ignore the requirements of both federal and state law, and require independent institutions to raise their own match if they want their students to participate in SSIG financial aid. Where do institutions raise funds for the match in Nebraska? Mainly from the primary operation sources of most independent colleges; charitable contributions and, ironically, tuition, which must necessarily increase.

Nebraska is not the only state in which independent institutions are required to contribute their own match. According to the Department of Education, Colorado, Idaho, Mississippi, Montana, New Mexico, Utah, and Hawaii independent institutions must do the same.

The justification of the Department of Education is that section 415C(b)(4) of the program statute allows the states broad discretion concerning the nature of institutional participation. But a reading of this section shows that there is no such "broad discretion," and that states are to be allowed to require their independent institutions to contribute their own funds in lieu of state tax dollars only in cases where there is a state constitutional problem or a state statute prohibiting a state tax appropriation match enacted prior to October 1, 1978. Nebraska meets neither condition.

In 1985, Governor Kerrey of Nebraska proposed state tax dollars in his budget which would fulfill the state's matching requirement for the participation of independent institutions. But because the Department of Education signaled that such a match was not necessary for SSIG participation, the Nebraska Legislature quickly disposed of the Governor's proposal. One can hardly blame a Legislature for such action if it is encouraged to do so by the federal administering agency.

What is frustrating to independent institutions in Nebraska is the policy reversal of the U. S. Department of Education. Nebraska's independent colleges worked hard and incurred considerable expense in the 1970's to see that the Nebraska Legislature enacted a need-based financial aid program to fulfill the intent of SSIG. The statute eventually enacted (but not funded) was to benefit not only independent college students but also public institution students in Nebraska. More effort and expense were incurred in the successful court test of the statute which culminated in 1981. All this time Nebraska's independent institutions were counting on SSIG program administrators to be supportive. Until a few years ago, they were: Dr. Richard L. McVity, Director of the SSIG program in Washington, even wrote to a Nebraska legislator in the late 1970's that requiring independent institutions to contribute their own match is "decidedly out of keeping with the intent of Congress....To require institutions of postsecondary education to contribute such matching funds to the state, as a precondition for receipt of federal SSIG funds, is to impose on them an inequitable burden not envisioned by the Congress."

The reversal of this policy in recent years, despite no change in Congressional intent, has made a mockery of our efforts to see that Nebraska complied with the goals set forth in the SSIG legislation.

SSIG needs to be reauthorized or else those years of struggle in Nebraska and many other states will go for naught. The language of the program statute, in our opinion, does not need to be changed as much as there needs to be oversight to see that the Department of Education administers the program as Congress intended. There have been suggestions that SSIG should be expanded to include work-study programs. This may be a good idea, but only if Congress makes certain that work-study incentives are not also frustrated by improper program administration. There have been suggestions that other states have the opposite problem as Nebraska (state match for independent institutions, but no match for public institutions) and that this requires a Congressional remedy. We have no problem with that, except to note that students in states so affected already receive ever-increasing state financial aid at public institutions through a tuition subsidy. The problems are obviously dissimilar.

If SSIG is reauthorized, one way to address these problems is to require that students at all non-profit institutions are the focus of eligibility, not institutions. This would conceivably eliminate the problem of institutions being required to contribute matching dollars, except in cases where there is a bona fide constitutional or statutory problem.

Jon H. Oberg

Association of Independent Colleges
and Universities of Nebraska

(2) The amount of any State's allotment under paragraph (1) for any fiscal year which the Secretary determines will not be required for such fiscal year for the State student grant incentive program of that State shall be available for reallotment from time to time, on such dates during such year as the Secretary may fix, to other States in proportion to the original allotments to such States under such part for such year, but with such proportionate amount for any of such States being reduced to the extent it exceeds the sum the Secretary estimates such State needs and will be able to use for such year for carrying out the State plan; and the total of such reductions shall be similarly reallotted among the States whose proportionate amounts were not so reduced. Any amount reallotted to a State under this part during a year from funds appropriated pursuant to section 1070c(b)(1) of this title shall be deemed part of its allotment under paragraph (1) for such year.

(b) Sums appropriated under section 1070c(b)(2)

Subject to the provisions of section 1070c–4 of this title, sums appropriated pursuant to section 1070c(b)(2) of this title for any fiscal year shall be allotted among the States in such manner as the Secretary determines will best achieve the purposes for which such sums were appropriated.

(c) Continuing incentive grants

The Secretary shall make payments for continuing incentive grants only to those States which continue to meet the requirements of section 1070c–2(b)(1), (2), (3), and (5) of this title.

(As amended Pub.L. 96–374, Title IV, § 404(b), Title XIII, § 1391(a)(1), Oct. 3, 1980, 94 Stat. 1407, 1503.)

References in Text. Section 1070c–4 of this title, referred to in subsec. (b), was repealed by section 404(d) of Pub.L. 96–374.

1980 Amendment. Subsec. (a)(1)(A). Pub.L. 96–374, §§ 404(b), 1391(a)(1), added provision that no State shall receive less than the State received for fiscal year 1979 and substituted "Secretary" for "Commissioner".

Subsecs. (a)(1)(B), (2), (b), (c). Pub.L. 96–374, § 1391(a)(1), substituted "Secretary" for "Commissioner".

Effective Date of 1980 Amendment. Amendment by Pub.L. 96–374 effective Oct. 1, 1980, see section 1393(a) of Pub.L. 96–374, set out as a note under section 1001 of this title.

Legislative History. For legislative history and purpose of Pub.L. 96–374, see 1980 U.S. Code Cong. and Adm. News, p. 3141.

Code of Federal Regulations

State student incentive grant program, see 34 CFR 692.1 et seq.

§ 1070c–2. Payment of grants

(a) Applications

A State which desires to obtain a payment under this subpart for any fiscal year shall have a State agreement pursuant to section 1143 of this title and shall submit an application therefor through the State agency administering its program of student grants, at such time or times, and containing such information as may be required by, or pursuant to, regulation for the purpose of enabling the Secretary to make the determinations required under this subpart.

(b) Terms and conditions

From a State's allotment under this subpart for any fiscal year the Secretary is authorized to make payments to such State for paying 50 per centum of the amount of student grants pursuant to a State program which—

(1) is administered by a single State agency under section 1143 of this title;

(2) provides that such grants will be in amounts not in excess of $2,000 per academic year for attendance on a full-time basis at an institution of higher education;

(3) provides for the selection of recipients of such grants on the basis of substantial financial need determined annually on the basis of criteria established by the State and approved by the Secretary;

(4) provides that effective with respect to any academic year beginning on or after October 1, 1978, all nonprofit institutions of higher education in the State are eligible to participate in the State program, except in any State in which participation of nonprofit institutions of higher education is in violation of the constitution of the State or in any State in which participation of nonprofit institutions of higher education is in violation of a statute of the State which was enacted prior to October 1, 1978;

(5) provides for the payment of the non-Federal portion of such grants from funds supplied by such State which represent an additional expenditure for such year by such State for grants for students attending institutions of higher education over the amount expended by such State for such grants, if any, during the second fiscal year preceding the fiscal year in which such State initially received funds under this subpart;

(6) provides that institutions of higher education, with the approval of the State agency, may use any proportion of the payments received in any fiscal year for grants to otherwise eligible students who fail to meet the requirement of section 1091(a)(2) of this title;

(7) provides for State expenditures under such program of an amount not less than the average annual aggregate expenditures for the preceding three fiscal years or the average annual expenditure per full-time equivalent student for such years; and

(8) provides (A) for such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of and accounting for Federal funds paid to the State agency under this subpart, and (B) for the making of such reports, in such form and containing such information, as may be reasonably necessary to enable the Secretary to perform his functions under this subpart.

(c) Reservation of Federal share; authority of Secretary

Upon his approval of any application for a payment under this subpart, the Secretary shall reserve from the applicable allotment (including any applicable reallotment) available therefor, the amount of such payment, which (subject to the limits of such allotment or reallotment) shall be equal to the Federal share of the cost of the student incentive grants covered by such application. The Secretary shall pay such reserved amount, in advance or by way of reimbursement, and in such installments as he may determine. The Secretary's reservation of any amount under this section may be amended by him, either upon approval of an amendment of the application or upon revision of the estimated cost of the student grants with respect to which such reservation was made, and in the event of an upward revision of such estimated cost approved by him he may reserve the Federal share of the added cost only from the applicable allotment (or reallotment) available at the time of such approval.

(As amended Pub.L. 95–566, § 3, Nov. 1, 1978, 92 Stat. 2403; Pub.L. 96–374, Title IV, § 404(c), Title XIII, § 1391(a)(1), (2), Oct. 3, 1980, 94 Stat. 1407, 1503.)

1980 Amendment. Subsec. (a). Pub.L. 96–374, §§ 404(c)(1), 1391(a)(1), substituted "shall have a State agreement pursuant to section 1143 of this title and shall submit" for "shall submit" and "Secretary" for "Commissioner".

Subsec. (b). Pub.L. 96–374, § 1391(a)(1), substituted "Secretary" for "Commissioner" wherever appearing.

Subsec. (b)(1). Pub.L. 96–374, § 404(c)(2), added "under section 1143 of this title" following "State agency".

Subsec. (b)(2). Pub.L. 96–374, § 404(c)(3), substituted "$2,000 per academic year for attendance on a full-time basis" for "$1,500 per academic year for attendance on a full-time basis as an undergraduate".

Subsec. (b)(4). Pub.L. 96–374, § 404(c)(4), added "or in any State in which participation of nonprofit institutions of higher education is in violation of a statute of the State which was enacted prior to October 1, 1978" following "is in violation of the constitution of the State".

Subsec. (b)(6). Pub.L. 96–374, § 404(c)(5), added par. (6). Former par. (6) redesignated (8).

Subsec. (b)(7). Pub.L. 96–374, § 404(c)(5), added par. (7).

Subsec. (b)(8). Pub.L. 96–374, § 404(c)(5), redesignated former par. (6) as (8).

Subsec. (c). Pub.L. 96–374, § 1391(a)(1), (2), substituted "Secretary" and "Secretary's" for "Commissioner" and "Commissioner's", respectively.

1978 Amendment. Subsec. (b)(4). Pub.L. 95–566 added ", except in any State in which participation of nonprofit institutions of higher education is in violation of the constitution of the State" following "State program".

Effective Date of 1980 Amendment. Amendment by Pub.L. 96–374 effective Oct. 1, 1980, except for the amendment of subsec. (b)(4) of this section by Pub.L. 96–374, see section 1393(a) of Pub.L. 96–374, set out as a note under section 1001 of this title.

Amendment of subsec. (b)(4) of this section by Pub.L. 96–374 effective Oct. 1, 1979, see section 1393(b)(2) of Pub.L. 96–374, set out as a note

Senator Stafford. Thank you all very much, indeed, for helping the committee and the committee will stand adjourned until 2 this afternoon.

[Whereupon, at 11:17 a.m., the committee recessed, the hearing to resume at 2 p.m., the same day.]

REAUTHORIZATION OF THE HIGHER EDUCATION ACT, 1985

THURSDAY, SEPTEMBER 26, 1985

Afternoon Session

U.S. Senate,
Subcommittee on Education, Arts and Humanities,
Committee on Labor and Human Resources,
Washington, DC.

The subcommittee met, pursuant to notice, at 2:10 p.m., in room SD-430 Dirksen Senate Office Building, Senator Robert T. Stafford (chairman of the subcommittee) presiding.

Present: Senators Stafford, Simon, and Pell.

OPENING STATEMENT OF SENATOR STAFFORD

Senator **Stafford.** The Subcommittee on Education, Arts and Humanities will kindly come to order.

This afternoon we will hear testimony on three important titles of the Higher Education Act. Our first panel is on title V: Teacher Training. Our witnesses are involved in education programs from around the country.

Our second panel is speaking on title XI: The Special Concerns of Urban Universities. We will conclude this afternoon's hearing with a panel on title II: Adult and Continuing Education. I look forward to hearing from all of this afternoon's witnesses, and I would like to welcome all three of our panels. I always feel apologetic for having to say this because I know how much efforts you have made in preparing statements and in coming down here to help this committee with our task of rewriting the Higher Education Act.

But we are subject to and vulnerable to rollcalls the rest of the afternoon and under some pressure to be elsewhere. So we are going to have to ask the witnesses to summarize your written remarks in 5 minutes or less. All of your statements in full will appear in the record as if read, so that members who are not here will be able to read them, and we will be using a little traffic control device which is on the witness table. It has a red light and a green light, and you will get 5 minutes on the green and then you will encounter the red. I hope there will be few who will try to run a red light on us.

The first panel will be Dr. Judith E. Lanier of Michigan State University, East Lansing, MI; Dr. Linda Bunnell Jones, dean of California State University System, Long Beach, CA; Dr. Jerome T. Murphy, associate dean and professor, Harvard School of Education, Cambridge, MA; and Mr. Richard Lansford, teacher, Lakewood Senior High School, Denver, CO. If you would be willing to come forward. Before our first witnesses begin, Senator Simon, do you have any statements you wanted to make?

Senator SIMON. I have no statement. I am here to get some wisdom from the witnesses.

Senator STAFFORD. Well, we share that sentiment.

[Opening statement of Senator Pell follows:]

OPENING STATEMENT OF SENATOR PELL

Senator PELL. Mr. Chairman, I am very pleased, once again, to be taking part in this very important hearing.

I am particularly pleased that we turn our attention this afternoon to the issue of teacher training. I am deeply concerned that our national effort in this direction falls far short of the need. For, we are only at the beginning of what promises to be a paralyzing crisis in teacher shortages.

The National Center for Education Statistics estimates that between 1985 and 1990 we will face a national shortage of 30,000 teachers per year. It is frightening to examine what schools must do to cope with this problem. Just this past summer, New York had 4,000 teaching positions to fill before the start of the school year. These positions were mostly filled by issuing emergency teacher certificates. In addition, it is estimated that over 100,000 teachers teach outside of their field full time.

I am greatly alarmed that this bandaid approach to teacher shortages will cause irreparable damage in the education of our children. And, not surprisingly, the greatest effect will be on the poor and minorities from urban areas where the teacher shortages are the greatest.

While the responsibility for teacher training rests primarily in the hands of State and local governments, the magnitude of the crisis we face demands a significant effort at all levels of government. I am concerned that the Federal Government has lost sight of our responsibility to focus specifically on the needs of teacher recruitment, retraining, and retention. I am hopeful, therefore, that in this reauthorization of the Higher Education Act, we can revitalize the great sense of hope and direction represented by the Teacher Corps and the Education Professions Development Act of a decade ago.

The other two programs we address this afternoon represent a small, but significant role that institutions of higher education can play in the life of the community. I am hopeful that our witnesses will focus on the responsiveness of postsecondary education to the rapidly changing social and economic needs of the area. The adult worker seeking to upgrade his or her employment status, the dislocated worker in need of retraining for a new and emerging field, and a dislocated homemaker facing employment for the first time in many years all look to community and junior colleges as well as other postsecondary institutions for this kind of instruction. Urban universities, furthermore, house tremendous resources which should be made more available to the city and surrounding area.

I look forward, therefore, to the recommendations of the witnesses today concerning these three programs.

Senator **Stafford**. All right. Then we will go in the order in which we announced you ladies and gentlemen. That means, Dr. Lanier, you might be first.

STATEMENTS OF DR. JUDITH E. LANIER, DEAN, COLLEGE OF EDUCATION, MICHIGAN STATE UNIVERSITY, EAST LANSING, MI; DR. LINDA BUNNELL JONES, DEAN, CALIFORNIA STATE UNIVERSITY, LONG BEACH, CA; DR. JEROME T. MURPHY, ASSOCIATE DEAN, GRADUATE SCHOOL OF EDUCATION, HARVARD UNIVERSITY, CAMBRIDGE, MA; AND, RICHARD LANSFORD, TEACHER, LAKEWOOD SENIOR HIGH SCHOOL, JEFFERSON COUNTY, CO, ON BEHALF OF THE NATIONAL EDUCATION ASSOCIATION

Dr. **Lanier**. It is an honor and a pleasure to appear before you today and offer testimony on the reauthorization of the Higher Education Act of 1965. The issues you face here, I think, are of particular importance because they are directed toward not only the institutions of higher education themselves, but also to the very future of elementary and secondary education for our Nation's youth.

I will draw in these brief remarks from some of the work of the Holmes group, which is a group of educators that has been working together for over 2 years now, a group of deans from over 40 of the Nation's leading research universities who are concerned about the efforts of American higher education, particularly as it relates to the enhancement of educational possibilities for teachers. It has formulated a series of recommendations on teaching and teacher education. The name of that group draws from a former dean, as a matter of fact, in 1927 from Harvard Graduate School of Education who argued "The training of teachers is a highly significant part of the making of a nation. The simple truth is that a more serious conception of the place of a teacher in the life of a nation is timely and necessary." That was over 50 years ago, and we are still struggling with this difficulty.

What the Holmes group has done is to attempt to study why the problems continue and persist as they do and I want to take a few moments of my testimony to indicate that in summary it is the view that America's norms, the traditional norms we had for the occupation of teaching as well as the academic preparation of persons who pursue this work, are no longer adequate for the social and institutional changes that have occurred in this country in the last generation.

Since the advent of the common school, most academically talented persons have quite clearly avoid career commitments in teaching whenever possible. Men from the upper and middle classes pursued employment in teaching only when it enabled them to avoid less desirable options such as going to war or going hungry during the depression.

Lower class men have typically stayed in teaching only briefly until such time as they could find better white-collar work and income. And women who entered teaching remained there until they married and assumed the responsibilities of housekeeping and child rearing. And thus school teaching in America came to be constructed for persons who were serving short-term stints. The Nation's programs of teacher preparation were thus kept very simple and brief in order to sustain this relatively cost-effective labor force.

Until recently, this general approach appeared adequate for accomplishing America's great dream of making an education of quality broadly available to its citizens. But times have changed, and our educational institutions must now be adapted to new, social conventions and circumstances, since this is the first generation that that kind of approach to having adequate teaching in the schools is no longer available.

So, to move forward very quickly, we are recommending basically a series of major reforms in a number of approaches. I am going to tic those off. The implications of these reforms are that there needs to be substantial support for university and school partnerships to work together in realizing these reforms.

The first of these is we must change the preparation patterns and the occupational structure of teaching so that highly competent people will see it as worthy work even for a brief period of national service or for the long term as a professional career. It is not seen as worthy work for the long term as a professional career at the present time.

Second, we must change the entrance standards for teaching so that only college graduates with established records and strong academic ability—in other words, those who have already graduated from college with strong records of academic ability and successful records of apprenticeship in school are permitted to teach. In other words, just unleashing people to experiment with children regardless of grade point or test scores alone is not enough.

We all know that knowledge of one's subject does not necessarily mean people will be ethical or clear as they teach and work with youngsters.

We also have to recognize that we must draw into schools persons who will dedicate themselves to teaching for short periods of time. The labor force is such and the numbers of people needed for teaching so great that to try and put a supertalented teacher in every classroom for the rest of their lives is a myth because it cannot be done, given the large numbers of people required to teach.

So changing then the career structure of teaching so we have career professionals who have long training and will stay in the career and then another kind of training for those who will stay for short stints needs to be designed in support for those efforts.

[The prepared statement of Dr. Lanier follows:]

TESTIMONY TO SENATE SUBCOMMITTEE ON EDUCATION, ARTS, AND HUMANITIES

DR. JUDITH E. LANIER
DEAN, COLLEGE OF EDUCATION
MICHIGAN STATE UNIVERSITY
SEPTEMBER 26, 1985

It is both an honor and a pleasure to appear before you today to offer testimony on the reauthorization of the Higher Education Act of 1965.

The issues you face concerning the reauthorization of the Higher Education Act are of critical importance. This importance attaches not only to institutions of higher education themselves, but also to the very future of all elementary and secondary education for our nation's youth. Your decisions now will critically affect the nature of educational opportunities to be made available to an entire generation. The decisions you and your colleagues make concerning provisions for higher education and higher education assistance will have a determinative impact upon the field of teacher education and the training of most of those individuals who will enter into the occupation of teaching and who will educate our youth. Therefore, careful consideration of issues relating to the training of future teachers will directly impact the training of all young people, be they rich or poor, be they in attendance in public or private schools, be they low-income, minority, or special needs students.

This Committee has, in particular, the power to influence critical choices which must be made in the very near future to determine the excellence of our teaching force. And it is that body of teachers who will play the most significant role in determining educational outcomes for all students. These decisions about the quality of teacher education and the quality of future teachers are particularly important at this point in time because we must replace over half of this nation's teachers in the next decade.

I have chosen, therefore, to focus my remarks upon the issues I consider of critical importance to the future of teacher education and, hence, to future efforts to improve the excellence of all American public and private schools. In doing so, I would like to bring to your attention the efforts which are being made by an extraordinary coalition of the nation's educational leaders and, in particular, those educational leaders who are struggling with the challenge of training this nation's teachers. This group, known as the Holmes Group, consists of deans of education from 28 major research universities in the nation. The group, drawn together by a mutual concern for the future efforts of American higher education to enhance educational possibilities for teachers, has formulated a series of recommendations for the improvement of teacher education. The group is motivated and vitalized, and takes its name from a plea made in 1927 by Henry Holmes, then dean of the Harvard Graduate School of Education. The notions set forth by Dean Holmes in 1927 are very apt for today, and it is with his message that we began our task, the task of persuading the nation, as Holmes suggested, that "the training of teachers is a highly significant part of the making of the nation . . . . [and that] the simple truth is that a more serious conception of the place of the teacher in the life of the nation is both necessary and timely."

Given this, the Holmes Group of education deans has gone forward to achieve a consensus concerning higher education's needs and the role institutions of higher education can play in training the teachers this nation will demand in the next decade and the decades hence. The Holmes deans share the view that America's traditional norms for the occupation of teaching and the academic preparation of persons who pursue this work are no longer adequate. They know that since the advent of the common school, most academically talented persons have avoided career commitments in teaching whenever possible. Men from the middle and upper classes pursued employment in teaching only when it enabled them to avoid less desirable options, such as going to war or going hungry during the Depression. Lower class men typically stayed with teaching briefly, until such time as they could find better white-collar work and income. Women who entered teaching remained there until they married and assumed the responsibilities of housekeeping and child rearing. Thus, school teaching in America was constructed for persons serving short-term stints, and the nation's programs of teacher preparation were kept simple and brief in order to sustain this relatively cost-effective labor force.

Until recently, this general approach appeared adequate for accomplishing America's great dream of making an education of quality broadly available to its citizens. But times have changed, and our educational institutions must now be adapted to new social conventions and circumstances. Today, for example, our elementary and secondary schools have much larger populations of students that have not generally been well served by many teachers in the past. Typically, these youngsters are children of the poor and are capable of learning when taught by expert teachers. They require strongly committed, well-educated persons, however, who do more than simply give directions and transmit information. These students need teachers who insist upon intellectually tough-minded instruction that they tailor to the particular ways these youngsters think and learn. Such teachers interpret the attitudes and understandings students bring to lessons and identify the subtle misconceptions and surface verbalizations that mask student understanding. These teachers possess the caring and cognitive flexibility to construct and reconstruct subject matter in multiple ways as they teach lessons they have carefully crafted to help diverse children learn. While teachers of nonchalant attitudes or mediocre abilities are undesirable for all students, they are disastrous for the growing segment of the school population that is highly dependent upon intelligent and motivating instruction.

The new circumstances calling for better educated teachers are not grounded solely in democratic and humanitarian ideals, however. Pragmatic grounds are also salient in our increasingly complex technological society. Our country cannot afford to have large numbers of citizens undeveloped in their capacity for intellectual functioning. Knowledge and reasoned judgment are now competitive commodities and valuable forms of capital in the world marketplace. Further, we know that the development and sustenance of these valuable human resources are inexorably linked to the quality teaching young people obtain in their school, home, and community. We have to be aggressive and farsighted in the ways we address the need for better teaching in these settings if America is to remain competitive and strong.

These circumstances have given rise to the Holmes Group's serious concern for the preparation of school teachers in the United States. While growing numbers of children in the larger society are in desperate need of quality teaching, the maintenance and improvement of such work is increasingly problematic. Over half of the teaching force will turn over in the coming decade, when the occupation can no longer fill its ranks from the pool of competent applicants with restricted options. Free of career choice limitations, talented women and minorities are now entering more rewarding occupations formerly held by their majority male counterparts. Adults pursuing collegiate study rightfully ask why they should consider a career in teaching when so many more, and potentially attractive, options are available.

Students rightfully ask why they should "just" be a school teacher when school teaching promises so few benefits. The salaries of school teachers are not commensurate with those of other graduates. The work load is unreasonably heavy, and hopes of achieving reasonable levels of success are unrealistic without undue personal sacrifice. There are no opportunities for promotion, unless one leaves the field of teaching. Collegiality and adult companionship are meager, as teachers remained confined to the company of children. Even the smaller amenities, such as ready access to an office, secretary, and telephone are not typically available; and little opportunity for professional discretion remains now that teaching is managed in such technological and bureaucratic ways. Fewer and fewer Americans can make a good case for becoming school teachers, and fewer and fewer Americans are investing their costly college educations in preparing for such work.

Especially with the growing demand for teachers, it is possible that standards could drop still further than they already have. However, the phenomenal degree of attention being given to the matter of educational excellence and various proposals for school reform kindles hope that a new spirit of willingness exists for the identification and solution of the problems inherent in creating and maintaining a strong professional force of competent teachers.

The organizing members of the Holmes Group are enlisting the help of the nation's major universities, every state department of education, selected school districts, and a significant number of the nation's leading philanthropic foundations to address the problems of devising and successfully implementing higher standards for teaching and teacher education. The work you do on the reauthorization of the Higher Education Act can play a critical role in realizing the successful outcome of our efforts to improve the nation's teaching force and, hence, the nation's schools by vastly improving the programs of teacher preparation offered in the nation's institutions of higher education. These efforts are of two types. First, we must alter the nature of teaching as work. Second, we must alter the manner in which we prepare teachers. These must go hand in hand. Although the undertaking is both complex and difficult, the necessary ingredients can be identified rather straightforwardly.

The Holmes Group has concluded that those who would significantly reform and improve both the education and the work life of teachers must accept a distinction between those who pursue teaching as a general occupation on a short-term basis and those who pursue teaching as a professional career. An effort to upgrade the entire teaching force at this time is simply too costly in these financially troubled times. An effort to flood the ranks of the teaching force with the best and the brightest of our college graduates is probably unrealistic and would be insufficient to foster the type of vast reform that is necessary. Instead, what we have come to recognize is that we must in the future rely upon two types of teachers. For those who would commit themselves to a long-term career in teaching and who successfully complete prolonged study and demonstrate competence in practice sufficient to assure us of their facility in the knowledge and skills needed to teach and to teach well, we would create the status of career professionals. However, we can only expect about one-fifth to one-quarter of the teaching force to consist of these professionals. For the rest of the teaching force, we must recognize that we must rely upon the service of persons who cannot make the same commitment to teaching as life work but who can, instead, serve for a short time providing their own expertise and enthusiasm to the tasks of teaching. These individuals would not be as highly trained as the career teachers in the field of education and would have to rely upon intense training while they were teaching and in the summers. In addition, these service teachers would have to rely heavily upon the supervision and mentoring of career professionals, to whom would fall the responsibility of ensuring that high levels of excellence in teaching were maintained. While we must recognize a change in the nature of the teaching force, we cannot, in short, allow these changes to become experiments upon our children; career teachers will be the critical variable in ensuring the quality of educational services provided.

Undergirding the plans being proposed by the Holmes Group is the belief that career professionals can be prepared effectively by a careful combination of undergraduate study, master's degree, and continuing education taken in the early years of experience in the field. This basic plan calls for a full year of post-baccalaureate study, followed by an induction year in the schools which combines paid internship with continued education.

The general design of the teacher education program for career professionals is, therefore, comparable in some respects to a number of current proposals being initiated in the states to recognize teachers with special talents and responsibilities through either career ladders or merit pay. Prospective career professional teachers would gradually acquire increased knowledge, skill, and proficiency by working with universities that would collaborate in such career development with selected school districts.

Given that there appears sufficient consensus among educational leaders about the steps which need to be taken, Congressional endorsement, support, and financial assistance to these efforts should have a reasonable likelihood of prompting substantial change in our system of public and private education. In short, we must do the following:

1. We must change the preparation patterns and occupational structures of teaching so that highly competent people see it as a worthy investment either for a brief period of national service or for the long-term as a professional career.

2. We must change the entrance standards for teaching so that only college graduates with established records of strong academic ability and successful records of apprenticeship with selected teachers and professors are allowed to teach in our schools.

3. We must recognize that we must draw into schools persons who will dedicate themselves to teaching for short periods of time. We must change the selection process for teaching so that talented college graduates with very modest preparation in education can work for one to three years as national service teachers; i.e., provided they have sound technical training in the summers, and quality guidance and oversight from professional teachers throughout the school year. Such an approach would be modeled after our nation's already successful Peace Corps and ROTC programs.

4. We must change the selection process and role expectations for those who would pursue teaching as a career so that only those with outstanding qualifications would fill the ranks of long-term professional career teachers; i.e., those persons willing and able to do the following:

    - successfully pursue an in depth course of study for professional preparation,
    - pass rigorous examinations that evidence mastery of the required knowledge and skill,
    - demonstrate four consecutive years of teaching that is evaluated regularly and judged consistently to be of truly outstanding quality, and
    - assume responsibility for helping schools be more effective through professional work with adults as well as with children.

5. We must then change the reward structure for these professional career teachers so that the extrinsic, as well as the intrinsic returns for the work are comparable to that of other respected professions.

6. We must change the working relationships, roles, and responsibilities within and between schools and universities so that their collaborative endeavors can assure the public of well educated teachers for America's children.

7. We must alter our mechanisms for providing financial support and assistance for students who are interested in entering into the occupation of teaching. The nation's teaching force has been, and probably will continue to be, drawn for the most part from the children of low-income or mid-income families. These are the students most in need of federal assistance in financing their higher education careers. The provision of increased student aid in the form of loans, rather than grants, is particularly troublesome at this point in time when we are attempting to attract good teacher candidates into our training programs but have not yet achieved higher levels of teacher salaries for graduates in those programs. When students have to make difficult choices about how to spend precious higher education dollars, we must be in the position to offer financial incentives for the expenditure of those dollars in teacher training programs. A form of increased federal student aid in the form of grants for persons who go into teacher training and who are willing to enter into a period as national service teachers would increase the likelihood of success for such an endeavor. The model afforded by the type of capitation grants offered in the medical field would be useful for teachers.

8. We must strengthen our commitment to and mechanisms for attracting into the teaching professions greater numbers of minority and bilingual teachers. The increasing proportions of minority and limited-English-proficient students entering the schoolhouses of our nation demand that we have available for those students competent like-culture role models and instructors who are uniquely qualified to address the learning needs of those students.

9. We must enhance our efforts to reattract women to the work of teaching. Given the unique ability of the occupation and profession of teaching to accommodate social and personal needs for home making and family rearing, the teaching professions can renew their appeal to women who might previously have been attracted to other work. However, women, and particularly independent women with children, face particularly large barriers when attempting to obtain and finance a post-secondary education. Financial aid formulas do not take women's needs into account, and colleges fail to accommodate these students' needs for child care and flexible schedules. Therefore, a system of grant and student loan requirements modified to accommodate part-time students with dependent children should be initiated. This system should take into account child-care costs in calculating student need for grants and loans, and institutions should be encouraged or required to provide flexible schedules to accommodate students who must work.

10. We should revise teacher training aid from the federal government to target grants to support teacher training programs particularly designed to develop and meet the needs of minority populations and institutions with large numbers of such populations. Priority in grant awards should be given to institutions that encourage talented minority students to enter teacher education programs, and grants should be awarded to institutions of higher education that develop programs to train existing teachers and school personnel in new technologies and current research as they pertain to the needs of minority and non-traditional students.

There is widespread consensus, even among teacher educators, that improvement of teacher education is long overdue. However, there is also agreement among all that such improvement is a formidable undertaking in a country as large and committed to universal education as ours. There are approximately 1,300 teacher training institutions in the nation. While successful change requires that the unique character of each of these institutions be taken into account, it is possible to focus teacher education reform efforts upon a particular set of efforts which have a high likelihood for substantially altering the course of eductional excellence efforts in the nation. However, given the nature of the problems those of us who are teacher eductors face and the vast nature of the reforms we are discussing, it is unlikely that such change can occur without substantial external assistance. In particular, high levels of federal support will be critical.

Correcting the problems of teaching and teacher education is difficult because of the almost overwhelming size of the task. The problems cannot be remedied through isolated educational reform, and the investment costs needed to realize improvement are significant in both financial and human terms. In addition, the pressure to lower standards even further in order to attract sufficient numbers of individuals to staff our classrooms may soon be upon us, given a potential shortage of substantial magnitude in the very near future.

Needless to say, the financial resources which would be necessary for such an effort, are substantial. While there is tremendous support for such efforts coming from teacher training institutions, and sufficient spirit in support of change to foster, enhance, and implement such efforts, all participants share the view that substantial assistance to carry out such an effort will be essential. We would strongly urge you to seriously consider the proposals being made and the consensus now being generated within the community of teacher training institutions for the reforms outlined here today. Efforts by this Congress to target federal programs and assistance to further the efforts teacher training institutions have already initiated would be invaluable. We urge your support and your commitment for our efforts.

Senator **Stafford**. Thank you very much, Doctor. Dr. Jones, I guess we are ready to hear from you.

Dr. **Jones**. Mr. Chairman and members of the committee, thank you for the opportunity to speak before you today. I am representing Dr. W. Ann Reynolds, chancellor of the California State University. May I request that her full testimony be included in the written record of this hearing?

For the California State University, a system of 19 campuses with over 300,000 students, the education of teachers has been a primary responsibility for many years. In 1984, we prepared over 6,000 beginning teachers, 70 percent of all those prepared in the State.

The CSU, as many other universities around the country, is engaged in revitalization of its teacher education programs and is reaffirming the commitment of the entire university to this important responsibility.

The time is right. Retirement of many currently in the teacher force coupled with the increased school enrollment will call for up to 110,000 new teachers in California in the next decade. Other States will experience similar growth.

We in the CSU believe that we and other universities working with the States and with the Federal Government must seize the opportunity that the new demand for teachers provides to make teaching more a profession. Together we must assure that the new generation of beginning teachers have not only the personal characteristics needed to succeed as teachers, but also firm command of the subjects they are to teach and thorough grounding in current knowledge about human learning and human development.

Attempts to meet demand by licensing persons who have simply served an apprenticeship in the schools, as some States are doing, will undermine efforts to make teaching more a profession.

An introduction of a national test for entrance to teaching may identify the minimally qualified but will work against excellence and responsiveness to regional need within and among university programs.

Universities must take the lead to assure quality and quantity in the preparation of teachers. But through reauthorization of the Higher Education Act the Federal Government can assist universities to strengthen our Nation's teacher force.

First, we must work in tandem to attract able students to teaching. Universities must make it clear that teacher education programs are not dumping grounds for the academically deficient. Standards for admission to teacher education should require that prospective teachers perform above the average in university coursework.

The Federal Government can create incentives in the form of direct grants to students committed to becoming teachers. Bearing the imprimatur of the Federal Government, these would be powerful magnets to attract our Nation's best young people to teaching. Such grants are critical to efforts to recruit minority students to teaching.

Second, universities must provide rigorous, challenging teacher education programs with curriculum based on the most current research on teaching effectiveness. A national program of grants to institutions committed to full-scale introduction of meaningful changes in the form and the substance of teacher education would serve to generate new models that could inspire practice throughout the country.

Third, while there is some Federal support for research in teacher education, more is urgently needed. And the funds for much of it would best be directed to those institutions who prepare the bulk of the Nation's teachers. Studies carried out by persons in the traditional research institutions, where teacher education programs are typically small, seldom have significant impact on practice in the major teacher education institutions.

Fourth, and finally, universities must seek and Federal programs should encourage partnerships between universities and local schools for in-service education of teachers.

Undergraduate teacher preparation programs merely lay a foundation on which together the school and the university must build to assure the continued professional development of teachers.

Thank you, Mr. Chairman, for the opportunity to offer the perspective of the California State University as this committee deliberates reauthorization of the Higher Education Act.

[The prepared statement of Dr. Reynolds and responses to questions submitted by Senator Hatch follow:]

Testimony of Dr. W. Ann Reynolds, Chancellor of The California State University

Thank you for the opportunity, Mr. Chairman and members of the subcommittee, to submit this testimony regarding the Reauthorization of the Higher Education Act, Title V, Teacher Programs. I am W. Ann Reynolds, Chancellor of the California State University. My testimony is presented on behalf of The California State University, a system of 19 campuses with over 300,000 students. Historically, a primary mission of The California State University has been the education of teachers. Today, teacher education retains that high priority status. Each of the campuses has comprehensive teacher education programs. Collectively, the CSU campuses educate more than 50 percent of the teachers prepared in California, which equates to approximately 10 percent of those prepared nationally. In 1984 73% of those students recommended for single and multiple subject credentials in California were from the CSU.

The future of teacher education must recognize and be framed in the context of the increasing problems associated with teacher supply and demand. While the national supply and demand picture may be uneven from region to region, teacher shortages are already acute in inner city schools, population growth areas, and in mathematics, science, bilingual and special education classrooms. Projections indicate the shortages will increase in the degree of demand and the breadth of demand areas. The Sunbelt states anticipate an increasing need for elementary school teachers within the next few years followed by teacher shortages at the secondary level. Between 1985 and the year 2000, California high school graduates will increase by almost 38 percent with growth rates as high as 43 percent in San Diego, and 89 percent in Riverside and San Bernardino counties. In the absence of new initiatives, California expects a shortfall of at least 110,000 elementary and secondary teachers within the next ten years.

The issues of teacher supply and demand are inextricably linked to the issues of quality and quantity. The nation has the opportunity to educate a new generation of teachers. But simplistic answers to complex problems and quick-fix solutions abound as some would have us ignore the challenge of creating a new highly professional teacher force. Threats to the quality and quantity of teachers already confront us.

First is the call for universities to lower standards for teacher education or for states to relax regulations on the licensing of teachers in the face of shortages. The assumption is that a warm body in the classroom is better than no body at all.

States must avoid training teachers as apprentices whose training takes place ONLY on-the-job and requires no professional education, thus relegating the teaching profession to the status of a trade. If such practices become widespread, salaries will remain too low, and able, competent individuals will avoid teaching as a career. The teachers of our youth must be able to make complex professional judgments based on validated knowledge. Certainly, skills must be polished and improved in the field, but fundamental professional education must serve as the base if teachers are to be true professionals. Universities must attract academically talented students into teacher education programs and assure that they are not only well-grounded in their academic subjects, but that they are prepared in programs that call upon research about effective teaching, linguistics, multicultural education, sociology, psychology, and other related disciplines. Teachers must gain understanding and knowledge of the factors affecting minority student achievement, learning conditions in multicultural schools and the ability to apply effective instructional strategies.

So demanding a preparation takes time and money. Students must have adequate financial aid to stay in the university to prepare themselves fully so they may ultimately become competent teachers. This aid ideally should be in the form of direct grants. Students who must incur heavy debt obligations during their college years will be forced to opt for careers that pay better than teaching.

Universities themselves must avoid lowering standards for students who wish to become teachers in the misguided view that they are somehow helping to meet demand. Able students shy away from university programs that appear to be dumping grounds for the less academically capable. The California State University has just raised its standards for admission to teacher education programs in the firm belief that enrollment of able students will increase as a result. As one standard for admission, our students must prove themselves academically able by earning a grade point average in their college work that places them in the upper one-half of their class. Of course, this will be followed by rigorous assessment of the candidates throughout the teacher education program.

Despite the rigor of their programs, universities should eschew the novelty approach being touted as "teacher warranties." Universities do not guarantee the success of engineers, lawyers or physicians once they are in the workplace. Still, I believe that universities should work closely with schools to improve retention rates of first-year teachers. National studies suggest that some 50 percent of beginning teachers leave after three years in the classroom.

The second threat to quality and quantity in teacher education to resist is a national test that determines entry into the teaching profession. This falls into the category of the quick fix. Teacher testing has been seen as an easy solution to the problem of teacher quality and waning public confidence in the schools. Although some short-term benefits may accrue from eliminating persons with minimum skills and knowledge from the teaching force, the long-range problems generated from standardized tests insensitive to needed skills, not to mention regional differences, outweigh them.

The inability of psychometrists to test people fairly and adequately is not fully realized. This inadequacy is especially true of testing success at a task so complex as teaching. Currently, there are a number of problems associated with existing state teacher tests, even those of simple basic skills. These include test validity, test bias, and standardization of curriculum, which are driven by the test. The complexity and scope of these problems would be greatly magnified by a national test for teachers.

Further, the federal role in the testing and its relationship to the licensure of professionals is questionable. When professional tests do exist on the state level, such as the bar examination, professionals are quick to agree that passage of the test is not a guarantee or an accurate measure of competency in the field.

But most certainly the quality of teachers is a national concern. For this reason, it is not only appropriate, but highly desirable, for the Federal government to encourage states to insist that universities that prepare teachers institute rigorous programs for assessment of teacher education students. Universities and states must work together to develop common statewide standards and guidelines for university assessment of teacher candidates. But we must all avoid excess bureaucratic regulation at every level and tests which do not serve to improve the level of competency in the field.

While it is a more sophisticated and complex approach than testing, the application of collaboratively developed assessment guidelines within the universities, coupled with rigorous national professional accreditation procedures as well as the maintenance of minimum state requirements of teacher credential candidates and programs, will more adequately assure the public that those permitted to practice the teaching profession are competent.

As the first challenge in educating a new generation of teachers, we must plan to attract not only large numbers of able persons into the profession of teaching, but we must assure that these persons become competent teachers prepared to teach ethnically diverse students for a high technology- and information-based society.

The demographic data indicate that classrooms will be populated by increasing numbers of ethnic minority students. California expects that by the year 2000 over one-half (52 percent) of our school age population will be ethnic minorities.

Heroic efforts must be made to attract persons from ethnic minorities into the teaching profession. In 1984 in California, while the student population was 47 percent minority, 89 percent of the credentialed staff for K-12 was White and 11 percent ethnic minority--a 5 percent decline from the number of ethnic minority teachers in 1979. The result of this increasing gap, in California and throughout the nation, between the ethnic minorities in the school population and in the teacher force will be too few role models for minority students and limited exposure for students to professional leaders from minority groups. Further, the potential of minority teachers to improve understanding of cultural forces on school experiences for their colleagues and their pupils will be lost.

It is essential to provide financial aid for needy students with talent and interest in becoming teachers so that they can attend university and matriculate. Federal scholarships and loan programs designed to attract students to teaching are urgently needed. In providing this financial assistance, we must be especially attentive to the need for minorities as teachers.

Once we have able students concentrating on university study our challenge is that of improved and innovative teacher education programs. Unfortunately, many universities have neglected their responsibility in teacher education in recent years. Serious rethinking of the curriculum in professional education courses must occur. The responsibility for educating teachers must be one that the entire university takes on. This must be done in partnership with the teachers and administrators in the field. Teacher education must be more school-based with observation experiences occurring early in the baccalaureate and with strong, adequately supervised student teaching experiences.

There is a critical need for applied research on what constitutes and results in effective teacher education programs. It is gratifying that the National Institute for Education will support a Research Center on Teacher Education. However, it is vital that the role of the Federal government be strengthened and expanded in encouraging, sponsoring, and supporting applied research on the best ways to educate this new generation of teachers.

If this research is to produce useful and applicable knowledge on how to best educate teachers, it must be primarily conducted by those institutions that produce the nation's teachers. Teacher training universities such as The California State University, which produces more than half the teachers educated in California, are in themselves the very best laboratories for the investigation of effective teacher education. Far too often research opportunities are limited to universities that educate few teachers, do not place teacher education as a high priority, and are far removed from the realities of the public schools. In order for us to gain knowledge of teacher education that will be more useful, easily disseminated and meaningfully applied, the centers for the study of teacher education should be in those universities largely responsible and accountable for teacher preparation.

A national program for competitive grants would encourage and support innovations and excellence in teacher education programs. Teacher education is excessively regulated in most states. While these regulations assure some minimum level of program quality, they stifle the drive for excellence. And because they do not rely on program evaluation by peers from throughout the nation as do our schools of business, engineering, and medicine, state procedures serve to make teacher education programs appear second-rate. Specific areas of focus for national efforts might include interdisciplinary approaches to teacher education, the preparation of teachers for multicultural classrooms or university and school district partnerships that support a teacher education program that continues into the novice teacher's first years on the job.

Retraining of teachers must be occurring constantly. In-service education programs will be most beneficial if developed and carried out through university and school district partnerships. We need support, not only at the state and local level but at the federal level, for summer institutes and other means of improving teachers' skills and knowledge. In California, we have major state-supported initiatives for in-service training in writing and mathematics. The recently funded program to improve mathematics and science teaching instruction as part of the Education for Economic Security Act (PL 98-377, Title II, Sec. 201-11; 213) will assist greatly in this regard. But additional assistance for in-service education is required in order to meet emerging needs and changing times.

Teacher education is a life-long process.

In summary, I submit the following recommendations:

1. In order to provide meaningful assessment of teacher candidates, we must resist a national teachers' test and encourage the states and universities to develop rigorous guidelines for university assessment of teacher candidates.

2. In order to encourage innovative teacher education programs, I recommend a competitive grant program.

3. In order to attract into teacher education programs and the teaching profession large numbers of academically talented individuals, especially members of ethnic minority groups, we must provide adequate financial aid during the undergraduate and graduate years of study as well as federal scholarships and loan programs specially designed to attract students into teaching.

4. In order to expand the research base on effective teacher education and utilize this knowledge to improve teacher education programs, programs for applied research on teacher education should be supported at the federal level and conducted by universities that are responsible and accountable for teacher preparation.

5. In order to retrain teachers to meet critical needs and to enhance their skills and knowledge, federal level support for in-service programs including summer institutes is essential.

Thank you, Mr. Chairman and members of the subcommittee, for the opportunity to present this testimony.

State of California

Memorandum

Trustees of The California State University

To: Dr. Linda Bunnell Jones

Date: October 10, 1985

From: SBG
Sumner B. Gambee

Subject: Reauthorization Testimony Follow-up

As requested in your memorandum of October 9, 1985, I have prepared suggested responses to the four financial aid questions posed by Senator Hatch.

Please let me know if you have any questions or need additional information.

SBG:lem

Attachment

cc: Dr. William E. Vandament
Dr. Herbert L. Carter
Dr. John M. Smart
Dr. Charles Lindahl
Dr. Clyde C. Aveilhe
Mr. William J. Dermody

Suggested Responses to Senator Hatch's Questions

1. the proper division of responsibility between student, parents or other family, educational institution, the private sector, and government in financing postsecondary education.

One of the fundamental tenets in the Uniform Methodology of need analysis is that to the extent they are able to do so parents have the primary responsibility to pay for the postsecondary education of their sons and daughters. Likewise, students are expected to contribute from their current earnings, savings (which oftentimes reflect past earnings), and from loans (borrowing against future earnings). According to recent studies published by the American Council on Education*, after excluding governmental grant assistance, middle income students and their parents pay two-thirds of real college costs and low-income students one-half of these costs. Clearly, these proportions are too high for both student groups.

In the CSU, approximately three-fourths of the nearly $250 million provided in financial aid each year is derived from the Title IV programs (including Guaranteed Student Loans). The remaining one-fourth consists of state-supported grants, scholarships, and matching funds from public and private non-profit agencies which participate in the College Work-Study Program. We believe that these are appropriate divisions of responsibilities--especially in recognition of the State of California's subsidization of approximately 85% of the $5,000 per year cost of instruction for the 315,000 students enrolled in The California State University. That subsidy amounts to well over $1 billion or more than five times the amount of funding received from the federal government.

2. the proper balance between loans, grants, and work in financial aid packages in order to ensure a student's maximization of his education.

As noted above, the two ACE studies assert that whereas middle income students are currently paying two-thirds or more of the real costs of college through a combination of parental contributions and student loan and work programs, low-income students are paying fully one-half of real college costs. While it is noted that for middle income students federal financial aid (and in particular loans) is very important, for low-income students federal financial aid in the form of grants is crucial.

* How Low-Income Families Pay For College
How Middle-Income Families Pay for College

Since the enactment of the Middle Income Student Assistance Act in 1978, loan programs have grown at a much more rapid rate than have the grant programs. Although more than 90% of all current borrowers are making every effort to meet their repayment obligations on a timely basis, there is a distinct possibility that with increasing aggregate indebtedness, loan burdens will become unmanageable.

In order to achieve a "proper balance" in aid packages, it is essential that there be expansion of the major grant programs (Pell and SEOG) and to a somewhat lesser degree the College Work-Study Program. In contrast, efforts to reduce or indeed eliminate unnecessary borrowing under the Guaranteed Student Loan Program should be vigorously pursued. These efforts, which we have supported for a long time, include the imposition of a needs test for all borrowers, multiple loan disbursements, and elimination of the minimum $1,000 amount.

To summarize, while college choice for middle income students is important, access for low income underrepresented students is critical. Clearly, through expanded grant support the proportion of college costs borne by low-income students should be reduced from one-half to no more than one-third.

3. whether or not more resources for financial aid should be channeled to institutions for disbursement through them to students and why.

Seven years ago, the U.S. Office of Education (as it was then known) began the implementation of a new formula for the distribution of campus-based Title IV funds. In brief, the formula earmarked anticipated increases in funding for those institutions which demonstrated a "fair share" need for these funds while providing a "conditional guarantee" for other institutions which otherwise would have experienced precipitous funding dislocations. Over the intervening years, the anticipated additional funding never materialized. As a consequence, the vast amount of "fair share" need remained unsatisfied. Clearly, then, there is a need for additional support amounting to several hundred million dollars in the SEOG, CWS, and NDSL programs.

At the same time, there are concerns about the shortcomings in the current Pell Grant delivery system. Regular delays in the issuance of payment schedules, the absence of a master calendar, inability by the Department of Education to provide timely funding to the campuses, and recurring problems with the federal Pell Grant processor have led many to conclude that the only solution to the myriad of problems is the complete decentralization of the Pell Grant process, i.e., allowing the institutions to determine student eligibility and make awards according to criteria specified by the Department of Education. Such a change would accelerate the timeliness of Pell Grant awards and considerably reduce administrative costs.

4. whether or not, and how, greater concern with a student's educational achievement levels should be made a part of criteria for financial aid.

At the time of enactment of the Educational Amendments of 1976, a provision was added to the statute requiring all Title IV financial aid recipients to be making "satisfactory progress in their course of study in accordance with the standards and practices established by the institution." During the intervening years, there has been considerable discussion between the educational community and representatives of the Department of Education regarding proper interpretation of this statutory provision. Currently, the governing regulations contain considerable specificity with respect to both qualitative and quantitative measurements of satisfactory academic progress to be used by educational institutions. Therefore, no additional requirements are either necessary or even desirable.

An additional question pertains to the role of "merit scholarships"--and in particular those not based on financial need. Admittedly, these awards have proliferated at the institutional level over the past several years. Nevertheless, there is a general consensus that in the absence of additional funding at the federal level to meet the needs of all students who lack the necessary resources to go to college, it would be inequitable to establish federal grants or scholarships as academic rewards for certain students who didn't need them at the expense of those who did.

Questions from Senator Hatch to all witnesses at Higher Education Reauthorization hearings:

Please give me your thoughts, as you choose, on any or all of the following problems:

1) the proper division of responsibility between student, parents or other family, educational institution, the private sector, and government in financing post-secondary education;

2) the proper balance between loans, grants, and work in financial aid packages in order to ensure a student's maximization of his education;

3) whether or not more resources for financial aid should be channeled to institutions for disbursement through them to students and why; and

4) whether or not, and how, greater concern with a student's educational achievement levels should be made a part of criteria for financial aid.

Senator **Stafford.** Thank you very much, Dr. Jones. Dr. Murphy, may we hear from you?

Dr. **Murphy.** Mr. Chairman and members of the subcommittee, my name is Jerome T. Murphy, and I am the associate dean of the Harvard Graduate School of Education. I am also a member of the Governmental Relations Task Force of the American Association of Colleges of Teacher Education. It is a pleasure to be here this afternoon.

The purpose of my testimony is to argue that the Federal Government should support teacher training, but I would like to present my recommendations in the context of two more general arguments. My first general argument is that the careful training of teachers has never been more important than it is today.

In part this is true because of the impending shortage of teachers, but this is particularly crucial today because of a new national agenda in education, which is at the heart of the current reform movement in education. This new national agenda is an excellent academic education for everyone, those at the top and the bottom and also those in the middle.

The enormity of this task should not be underestimated. It has never been attempted before. To pursue this task, and I think we must, our schools will need better trained teachers. It is relatively straightforward to teach bright and motivated students. It is quite complex to implement a commitment to excellence for all. It will require teachers who not only know their subject matter, but know a lot about the motivation and learning of children and about alternative pedagogical approaches.

The idea of putting an untrained teacher in the classroom today is like asking a Piper Cub pilot to fly a 747.

My next general argument is that improved teacher training is a necessary but insufficient condition for the improvement of teaching. Unless three other matters are addressed, improved teacher training will not have much impact.

The first matter is the working conditions, including salaries of teachers, which need improvement. Second, in order for the reforms to work, we will need the social will to sustain them. Third, we need to address the quality of the teaching force, and let me elaborate here briefly. In part, this quality can be improved by setting sensible standards for entering into the profession, but we also need to rethink the way we staff our schools. We need to recruit nontraditional candidates drawn from different pools who will spend part of their careers in the schools. At the Harvard Graduate School of Education we have established two new programs with this in mind. One is our midcareer math and science program, which is designed to provide mid-to-late career professionals with the training they need to become high school teachers. Our students have included a retired rear admiral, an Army colonel, several engineers, biochemistry, and microbiology specialists, physicists, professors, a missile designer, and the chief meteorologist from the U.S. Weather Service. All of these students have master's or doctoral degrees in the fields they intend to teach, and all of them are sought after for jobs.

My final argument is that the Federal Government should play a stimulative role in teacher training, helping to meet the Nation's new national agenda in education. We in the higher education community believe that a new Title V of the Higher Education Act can help meet this new national agenda. The higher education community has developed a position statement that reflects our consensus on these issues, and a copy is included for the record as an appendix to my testimony.

The proposed legislation contains four parts: institutional support for teacher education at colleges and universities, summer institutes for the inservice and preservice training of teachers, focus on school, college, and university partnerships to develop preservice and staff development programs, and modest resources for data collection.

While the preparation of qualified teachers is critical, we appreciate the fiscal constraints facing the Congress. For that reason we propose a modest authorization level of $75 million to be distributed among the four programs. Our proposals also suggest a limited number of competitive awards, funding only those projects judged to be the most outstanding.

Mr. Chairman, I would like to end my testimony on a personal note. I became a public school teacher 23 years ago because I wanted to get rich. Back then richness came from a decent wage, the rewards of working with children, and the respect of the community. It was the richness of spirit that made for a meaningful life.

Today society defines richness in narrow, economic terms. Teachers know better, but they need a livable wage, the conditions to make it possible to help children, and respect for one of the most underappreciated jobs in society. With your help we can begin to make teaching a rich profession again.

[The prepared statement of Dr. Murphy follows:]

Testimony Presented

to

THE SUBCOMMITTEE ON EDUCATION, ARTS AND HUMANITIES

THE UNITED STATES SENATE

Hon. Robert T. Stafford, Chairman

by

Jerome T. Murphy
Associate Dean, Ha
Graduate School of Education
Cambridge, Massachusetts

on

September 26, 1985

Mr. Chairman and members of the subcommittee, my name is Jerome T. Murphy and I am Associate Dean of the Harvard Graduate School of Education. I am also a member of the Governmental Relations Task Force of the American Association of Colleges of Teacher Education. It is a pleasure to be here this afternoon to testify on the reauthorization of Title V of the Higher Education Act.

The purpose of my testimony is to argue that the federal government should support teacher training. But because I believe that some critics of teacher training understate its importance and some advocates overstate its importance, I would like to present my recommendations in the context of two more general arguments.

Argument #1: My first general argument is that the careful training of teachers has never been more important than it is today.

In part, this is true because of the impending shortage of teachers, particularly in such subjects as math and science. For example, in 1982, 42 states (out of 45 responding) reported either a "critical shortage" or a "shortage" of mathematics and physics teachers. In 1983, the 49 teacher training institutions in Massachusetts produced only two teachers certified to teach physics.

But the careful training of teachers is particularly crucial today because of a new national agenda in education-- an academic education for all. Let me elaborate briefly.

As all the members of this subcommittee well know, we are in the midst of a period of major school reform -- what with some 30 national reports, some three-hundred high-level commissions, and an epidemic of legislation at the state level during the last several years. The nation has not experienced such education reform since the equality era which started in the mid-sixties and, before that, the Sputnik era in the late fifties. These current reforms, however, are different from earlier ones in several important ways.

For one thing, they are focused on the very heart of the educational enterprise, rather than on college-prep programs as was true in the Sputnik period, or on issues of access and supplementary programs as has been true more recently. Now we are focused on the technical core of schooling-- the basic instructional program, how it is staffed and how it is taught. Given this new focus, it is little wonder that teachers are in the spotlight.

For another, the current reforms are designed to improve the education of ALL children. This is markedly different from the Sputnik period when the focus was on the gifted and talented. And it is different from the equality period when the focus was primarily on the disadvantaged and handicapped. Today's new national agenda is an excellent, academic education for everyone-- those at the top and the bottom, and also those in the middle.

The enormity of this task should not be underestimated. It has never been attempted before. For sure, we have had some excellent academic schools in the past, but one reason was the high dropout rate. It was relatively easy to provide excellent high schools when only 9 percent of the eligible population graduated in 1910, or 59 percent in 1950, as compared to graduating some 75 percent now. When we consider this continuing expectation of universal high school education, and then add the new expectation of a rigorous academic program for all graduates, the result is a lofty goal indeed.

To pursue this goal -- and I think we must -- our schools will need better trained teachers. It is relatively straightforward to teach bright, motivated students. It is quite complex to implement a commitment to excellence for all. It will require teachers who not only know their subject matter, but who know a lot about the motivation and learning of children and about alternative pedagogical approaches. The idea of putting an untrained teacher in the classroom today is like asking a Piper Cub pilot to fly a 747.

The new national agenda will also require a fresh look at teacher training. We need to explore a variety of models which combine pedagogical studies with a deep understanding of subject matter, which encourage schools and colleges to work more closely together, and which combine preservice training with on-the-job follow-up. This is a time for innovation, particularly since research does not point to "one best way" for training teachers.

Finally, this new national agenda will take time to implement. Here it is important to remember recent federal experience. It took almost 15 years before Title I of ESEA could be evaluated as a widespread success. My guess is that the new national agenda will take even longer to put into place. And it will not succeed without well trained teachers.

Argument #2: My next general argument is that improved teacher training is a necessary but insufficient condition for the improvement of teaching. Unless three other matters are addressed, improved teacher training will not have much impact.

(1) The first matter is the working conditions, including salaries, of teachers which need improvement. One major problem is the large numbers of children that teachers face every day. It is unreasonable for society to demand improved writing instruction, for example, when high school English teachers work with 140 students each day. An extra five minutes per week, which is not enough, adds 12 hours to the already busy life of the conscientious teacher.

Another familiar problem is the lack of career opportunities for teachers who want to stay in the profession. Unlike other jobs where entrants gradually assume more responsibilility, teachers assume major responsibility their first day and it remains the same thereafter. And, of course, there is the salary problem. The buying power of teacher salaries decreased some 15 percent between 1971 and 1981. The result: low morale, attrition, and difficulty in attracting good people.

The recent Harris survey of teachers, reported in the The New York Times on September 13, provides chilling evidence of the poor working conditions in the schools. Within the next five years, 27 percent of teachers say they are "very likely" or "somewhat likely" to leave teaching. The two basic reasons were low salaries and working conditions. A recent survey in the Boston area indicated that within the next two years six out of ten math teachers plan to leave teaching, while 13 out of 19 physics teachers hope to find other non-teaching jobs.

I am happy to see that a number of states and localities are making some progress in addressing the working conditions problem. But more is required. We know from research that teachers are motivated more by success with children than by a bonus or punitive accountability measures. We know that success is undermined by competitive incentive schemes that inhibit collaboration. We know that teachers are at their best when they exercise professional judgment. And we know that teachers who do not experience success either quit their jobs or lose the commitment that is essential to good teaching. Consequently, reforms must support working environments where teachers and children can learn; they must, at bottom, treat professional teachers as professionals.

(2) A second matter that needs addressing is the quality of the teaching force. In part, it can be improved by setting sensible standards for entry into the profession. In this regard, I welcome the recent moves toward teacher testing as one way to improve quality.

But we also need to rethink the way we staff the schools. We can no longer rely solely on the "traditional" candidate, the late adolescent who chooses a lifelong career in teaching. Their numbers are decreasing and their job opportunities are expanding.

We need to recruit "non-traditional" candidates, drawn from different pools, who will spend part of their careers in the schools.

At the Harvard Graduate School of Education, we have established two new programs with this in mind. One is our MidCareer Math and Science Program which is designed to provide mid to late-career professionals who already possess quantitative and scientific backgrounds with the training they need to become secondary math and science classroom teachers. For this year's entering class of 20, we recieved more than 625 inquiries suggesting that there are persons out there with an interest in switching careers. We also have received a number of inquiries from persons in fields other than math and science.

The women and men participating in the program's first three years have had diverse backgrounds and careers, including a retired rear admiral, an army colonel, several electrical, civil, chemical, and mechanical engineers, biochemistry and microbiololgy specialists, physicists, photographic scientists, higher education professors of chemistry and physics, a public defender with a degree in mathematics, a missle system designer, a chief meteorologist from the U. S. Weather Service, statisticians, geologists, and a veterinary technician. All of these students have a Master's or Doctoral degree in the fields they intend to teach. All of them are sought after for jobs.

Another program is now being established with Harvard undergraduates to attract into teaching committed, able young adults who are eager to serve society for a few years before entering a more lucrative, lifelong profession. For 20 slots in the program, we have already received more than 85 inquiries this first year.

The program will link together three elements-- a strong undergraduate liberal arts program, a streamlined pedagogical component that will fit into the undergraduate curriculum, and an innovative, technologically-based induction year program which will allow students to reflect on teaching as they begin it. We believe that these bright teachers from alternative sources can have an impact beyond their numbers.

(3) Finally, in order for the recent reforms to work, we will need the social will to sustain them. New money and skill is

not enough. Without community support behind the notion that the schools are primarily academic enterprises, even the best teachers will fail. The social will has been impressive during phase one of the reforms, the establishment of legislative initiatives. As we enter the much more difficult phase of implementation, will the -American people maintain their commitment? On that, the jury is out.

In short, teacher reform will require better working conditions, a more diverse and able pool of entrants, sustained social will, and improved teacher training. In this context, it is incumbent upon teacher educators neither to overpromise what can be accomplished by teacher training alone nor to accept the blame for all the problems with teaching in the schools.

Argument #3: My final argument is that the federal government should play a stimulative role in teacher training, helping to meet the nation's new national agenda in education.

As you know, the legislative leadership in the current reform era is coming from the states, not from the federal government. While the numbers change every day, we know that at least 41 states have passed stricter high school graduation requirements; 20 states have lengthened time spent in school; 37 states have developed new student evaluation procedures; 22 states have approved performance-based teacher incentives such as merit pay and career ladders; 35 states have raised teacher preparation and/or certification requirements; and 30 states have focused some attention on the professional training of teachers. Moreover, substantial new resources have been pumped into education in many states, particularly in the South.

In my view, the states are the appropriate center for the quality-oriented reforms now taking place. But there still is an important stimulative role that can be played by the federal government in areas of critical need. Teacher training falls into this category.

We in the higher education community believe that a new Title V of the Higher Education Act focusing on preservice teacher education and professional development activities with an emphasis on school-college and university partnerships can help meet this new national agenda in education. The higher education community has developed a position statement that reflects our consensus on these issues and a copy is included, for the record, as an appendix to my testimony. This statement represents the views of a number of higher education groups that have been working on these matters for the last two years.

We believe that the education of prospective teachers must continue to be centered in colleges and universities which provide structure for the systematic study of knowledge as well as for scholarly inquiry and intellectual discourse. Title V was designed with this in mind and it serves as the rationale for teacher education's inclusion in the Higher Education Act.

This subcommittee has given strong bipartisan support for adequate funding of elementary, secondary, and post-secondary education and you know better than most the extent to which all of us have suffered losses in federal support. However, with the inclusion of the previous Title V programs in the Chapter 2 block grant, and with the cuts in the other personnel preparation programs, during the last four years federal support for teacher training has declined more than 25 percent.

What is more, schools and departments of education are traditionally funded at significantly lower levels than other higher education programs. Therefore, while schools, colleges, and departments of education are faced with a diminished resource base they are expected to be responsive to calls for promoting excellence, to retain a commitment to equity, to compete with other professional programs for our share of talented students, and to respond with new programs to meet the changing technological needs of practitioners.

The proposed legislation contains four parts: institutional support for teacher education at colleges and universities; summer institutes for the inservice training of teachers; funds for school, college and university partnerships to develop preservice and staff development programs; and modest resources for data collection. This new Title V could support the kinds of activities that I described above, attracting new people into the profession, as well as support a wide variety of innovative approaches to teacher education. Taken together, we believe that these programs would stimulate changes with some long-term benefits.

While the preparation of qualified teachers is critical, we appreciate the fiscal constraints facing the Congress. For that reason, we propose federal support for a series of carefully defined activities with specified outcomes that will allow institutional flexibility while providing accountability to the Congress. We also propose that the Congress set a modest authorization level of $75 million to be distributed among the four programs.

We do not expect or recommend that each school district, state agency, or institution of higher education receive support through Title V. Attempting to spread limited federal funds among all who have even tangential responsibility for teacher preparation will result in such dilution of funds that none will be served adequately.

Our proposals suggest instead a limited number of competitive awards, funding only those projects judged to be the most outstanding and demonstrating the strongest commitment to quality teacher preparation and professional development.

Mr. Chairman, I would like to end my testimony on a personal note. I became a public school teacher 23 years ago because I wanted to get rich. Back then, richness came from a decent wage, the rewards of working with children, and the respect of the community. It was the richness of spirit that made for a meaningful life. Today, society defines richness in narrow economic terms. Teachers know better-- but they need a livable wage, the conditions to make it possible to help children, and respect for one of the most underappreciated jobs in society. With your help, we can begin to make teaching a rich profession again.

Thank you.

Senator **Stafford**. Thank you very much, Dr. Murphy. Mr. Lansford, we would be very happy to hear from you.

Mr. **Lansford**. Mr. Chairman and members of the subcommittee, my name is Dick Lansford, and I have been a math teacher at Lakewood Senior High School for 25 years. I am here today as a representative of the NEA, whose 1.7 million members are classroom teachers, higher education faculty, and educational support personnel.

I am pleased to testify on behalf of the NEA today on the reauthorization of the Higher Education Act. I will primarily focus my comments today on title V.

In the midst of the current educational reform movement, we are facing a mounting teacher shortage. The shortage is fueled by increasing elementary school enrollments, the inability to retain experienced teachers, the inability to attract new ones, undesirable work conditions, low pay, and the low esteem in which the profession itself is held.

The strengths and weaknesses in elementary and secondary education are directly related to the talent attracted to and retained in the teaching profession, the quality of training that teachers receive, and the environment and conditions in which they work. The NEA believes that excellence in education cannot be achieved without quality teaching and that quality teaching is elusive without quality teacher preparation and professional development programs.

In 1954, NEA helped create the National Council for Accreditation of Teacher Education, commonly referred to as NCATE. In June of this year, NCATE issued a reform plan developed and designed to revolutionize teacher education by significantly strengthening the requirements for certification. I happen to be a member of the NCATE council. However, when making career choices, individuals are influenced by the degree of esteem accorded to a particular occupation. That esteem is most often measured by salary, professional respect, and the working conditions. The Carnegie report agrees with this contention and stated:

> We cannot expect teachers to exhibit a high degree of professional competence when they are accorded such a low degree of professional treatment in their workaday world, nor can we attract the best and the brightest into teaching when they have had 12 years of opportunity, firsthand, to see the daily frustrations and petty humiliations that many teachers must endure.

A redesign of Title V of the Higher Education Act would provide a substantive and constructive way to begin addressing these current problems. Part A: the NEA recommends that part A of the Higher Education Act be renamed and called Excellence in Teacher Education. It should provide incentives allowing teacher training institutions to move quickly and decisively to strengthen their professional education programs. NEA believes strongly that partnerships between K-12 schools and colleges and universities must be encouraged as a quality control on teacher training. Therefore, we recommend that a second part of A be aimed at school, college, and university partnerships. Joint projects would include assistance to beginning teachers, clinical experience programs for the teacher education candidates, and exploring the practical application of educational research and evaluation.

Teacher education programs are essential as a foundation for teaching, but as one whose work day is in the school classroom, I have no doubt that learning must be a lifelong occupation if you are going to be effective. A competent, professional teacher must be able to share and compare his or her classroom experiences with their peers to redefine and develop the best teaching strategies. One key problem for teachers in the classroom is the isolation from our peers.

Between 7:30 and 2:30 of a work day, I teach five classes, have a planning period, and lunch. Lunch is the only time I associate with other adults. Facing varied students day in and day out and trying to see that they learn requires that I have critical thinking skills, subject matter expertise, the application of good classroom management techniques, the application of creative ideas and new techniques, and a sense of fairness and humor.

Mr. Chairman, no one acquires such skills in a vacuum; no one acquires them by taking a few years of college education courses or by staying isolated in a classroom. One gains these skills through constant and continued interaction with one's colleagues. You gain them through learning experiences in both formal and informal educational settings. NEA recommends that Federal support be directed to the continuous improvement of both teachers 'professional skills and subject matter expertise.

We would like to see an established part B professional development resource centers. These centers would provide year-round opportunities for personal, professional development and peer assistance in problemsolving. Such centers could use a variety of resources, including faculty, business, and public service employees, community leaders, and teachers themselves.

We have one of these in Jefferson County; it is excellent.

Senator STAFFORD. As I said, all of your statement will appear in the record.

[The prepared statement of Mr. Lansford and responses to questions submitted by Senator Hatch follow:]

LEGISLATIVE INFORMATION

STATEMENT OF THE
NATIONAL EDUCATION ASSOCIATION
ON
REAUTHORIZATION OF THE HIGHER EDUCATION ACT
AND TEACHER EDUCATION

BEFORE THE

SUBCOMMITTEE ON EDUCATION, ARTS AND HUMANITIES

OF THE

SENATE COMMITTEE ON LABOR AND HUMAN RESOURCES

PRESENTED BY

DICK LANSFORD

SEPTEMBER 26, 1985

MARY HATWOOD FUTRELL, President • KEITH GEIGER, Vice President • ROXANNE E. BRADSHAW, Secretary-Treasurer
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Mr. Chairman and Members of the Subcommittee:

My name is Dick Lansford. I am a math teacher at Lakewood Senior High School in Jefferson County, Colorado. I am here today as a representative of the National Education Association (NEA), with 1.7 million members who are classroom teachers, higher education faculty, and education support personnel in public schools and postsecondary institutions in each of the 50 states.

I am pleased to testify on behalf of the NEA today on the reauthorization of the Higher Education Act. I will primarily focus my comments today on Title V of the Act -- teacher education and training programs -- but would like to share our perspective on several other titles as well.

Teacher Excellence: A Foundation for Excellence in Education

In the midst of a nationwide education reform movement, we face mounting teacher shortages fueled by increasing elementary school enrollments, the inability to retain experienced teachers or to attract new ones because of low pay, a shrinking pool from which to draw potential teachers, undesirable work conditions, and the low esteem in which the profession itself is held.

There has been much criticism of the condition of American education and of the quality of instruction going on in our classrooms.

The strengths and weaknesses in elementary and secondary education are directly related to the talent attracted to and retained in the teaching profession, the quality of training which teachers receive, and the environment and conditions in which teachers practice, including the degree to which their continued professional development is fostered.

NEA believes that the reauthorization of Title V of the Higher Education Act offers a timely opportunity for us to address some of these issues.

NEA's Historical Aim -- Teacher Improvements

Though the education reform movement sweeping across the country today has provided a more recent impetus for this nation to focus on teacher training, the NEA's history is a chronicle of teacher improvement efforts.

NEA established the National Commission on Teacher Education and Professional Standards (TEPS) in 1946 to help elevate certification standards and to eliminate substandard credentials when only 60 percent of the country's teachers held bachelor's or higher degrees in education. Its efforts met with much success over the years.

In 1954, NEA helped create the National Council for Accreditation of Teacher Education (NCATE) -- an independent national accrediting agency for teacher education. In June of this year, NCATE issued a reform plan developed in cooperation with NEA and designed to revolutionize teacher education by setting significantly tougher standards for attaining accreditation.

At our Representative Assembly held earlier this year, NEA again asserted its leadership by taking a strong stand on behalf of rigorous teacher certification standards. This reflects our belief that no candidate should be certified to teach until he or she successfully meets or exceeds certain requirements.

This same Representative Assembly also addressed the controversial issue of teacher testing -- an issue that has surfaced with renewed public and professional concern with the quality of teachers in our nation's classrooms. We at NEA fear that testing is being viewed as a panacea to the current problems in teacher education. We know that it is not. Testing does have a valid role at the initial certification stage of a teachers' career -- as is the case with other professionals such as doctors, lawyers, or CPAs. However, performance evaluations -- not paper and pencil tests -- are the key to assessing the skills of current teachers. NEA strongly supports ongoing teacher evaluation -- called for in a great many school districts covered by NEA contracts -- as the best means to help teachers maintain and improve their teaching skills.

In addition, to help teachers enhance and improve their skills, NEA supports the concept of ongoing skills and subject-matter development. And this, Mr. Chairman, is why we come to present our views to the Congress on this important aspect of teacher training as a means to continually improve the quality of instruction in our classrooms.

NEA efforts to support ongoing training and evaluation for teachers represents only one aspect of our overriding belief that excellence in education cannot be achieved without quality teaching, and that quality teaching is elusive without quality teacher preparation and professional development programs.

The Challenges Ahead

Several pressing facts suggest that simply talking about or studying the issues affecting the quality of education is no longer enough. Now is the time for action.

o The U.S. Census Bureau recently reported a nine percent increase in the number of preschool children in the country since 1981. The birthrate began to climb in 1977, and this year there were 54,600 more elementary school students in the nation's classroom than in the previous year. This growth is expected to continue into the 1990s, according to the National Center for Education Statistics (NCES). NCES predicts that enrollment in kindergarten through grade eight will grow from the current 26.6 million to 30.5 million by 1993.

o At the same time schools will be facing an additional crisis -- a shortage of classroom teachers. The baby boom echo now being heard has created the need for an additional 250,000 teachers within the next five years alone. But the shortage problems are compounded by other factors.

o While elementary school enrollments swell, the pool from which potential teachers can be recruited is shrinking. By 1990, there will be nearly one million fewer 18-year-olds than there were in 1980.

o More teachers will be needed to fill vacancies created by the growing numbers of teachers retiring or leaving education for higher paying jobs in business and industry. This is aggravated by the fact that colleges and universities are currently unable to attract enough potential teacher candidates.

These combined factors spell an anticipated shortage of approximately one million teachers within the next five years.

Excellence -- A Vital Goal in Teacher Recruitment

When making career choices, individuals are influenced by the degree of esteem accorded to a particular occupation. That esteem is most often measured by salary, professional respect, and the working conditions which serve as a central foundation for professional practice. As the Carnegie Foundation for the Advancement of Teaching declared in its report on secondary education:

> ''We cannot expect teachers to exhibit a high degree of professional competence when they are accorded such a low degree of professional treatment in their workaday world. Nor can we attract the best and the brightest into teaching when they have had twelve years of opportunity to observe first hand the daily frustrations and petty humiliations that many teachers must endure.''

The point is that we are not attracting the finest students into teaching. Students who major in education today tend to be less well prepared than those entering other professions. On such measures as the Scholastic Aptitude Test, those who plan to go into education rank last in performance in every ethnic group surveyed nationally. Fewer than half of the newly hired teachers in English and math are certified in those fields. We are also not attracting potential teaching talent from ethnically and racially diverse segments of our population at a time when student enrollments are increasingly multiracial and multiethnic. The fact that fewer of our ethnic and minority students are entering college will heighten this lack of heterogeneity among new teachers.

Retaining Fine Teachers a Must

Furthermore, Mr. Chairman and Members of the Subcommittee, we are not even able to retain some of the finest teachers among those we do attract to the profession. This problem often stems from the fact that teachers work in facilities not conducive to learning, lack the proper materials and equipment to do an effective job, and try to teach in overcrowded classrooms. For that, their starting pay in 1984 was $14,500, compared with $26,800 for beginning engineers. None of these conditions serves as a magnet to the profession.

Improving Teacher Education Programs Essential

Today, there are more than 1,300 higher education institutions throughout the country preparing teachers. Yet, many have been and continue to be plagued by low standards for accepting and retaining students; inadequate institutional support for education departments; a low image in the eyes of college administrators and faculty in other departments; and the lack of uniformly strong, clear standards for professional education to prepare teachers.

NEA has no doubts that preparatory programs can be improved. One important step would be to assure better connections between the college education faculty and K-12 classroom teachers. The relevance of education courses to effective teaching is enhanced when teachers in today's classrooms advise on course content and offerings or serve as lecturers or visiting faculty.

TITLE V RECOMMENDATIONS

A redesign of Title V of the Higher Education Act would provide a substantive and constructive way to begin addressing these current problems and concerns. Here is NEA's view of what this legislation can do to improve teacher education.

PART A, Excellence in Teacher Education

NEA recommends that Part A of the Higher Education Act be renamed ''Excellence in Teacher Education.'' It should provide incentives allowing teacher training institutions to move quickly and decisively to strengthen their professional education programs.

One part should provide grants to institutions of higher education to promote:

o the design and implementation of high quality teacher education programs with high admissions criteria and which encourage talented students from diverse ethnic and racial groups to enroll;

o the development of cooperative programs among consortia of teacher training institutions of higher education in order to promote diversity and higher quality curricula;

o cooperative projects and programs involving faculties of liberal arts and sciences and faculties of education to revise and strengthen general studies and professional education programs and provide a better coordination between them, including programs incorporating a variety of clinical experiencies throughout the teacher education program;

- the development of programs to train existing teachers and school personnel in new technologies.

K-12 -- Postsecondary Partnerships A Must

NEA believes that partnerships between K-12 schools and colleges and universities must be encouraged as a quality control on teacher training curricula content. We further believe that the development of collaborative relationships between colleges of education and elementary and secondary teachers and administrators will promote educational excellence. We therefore recommend that a second part of Part A be aimed at ''School, College and University Partnerships.'' Its goals should be to foster:

- joint projects between local education agencies and institutions of higher education to provide programs of assistance for beginning teachers;
- clinical experience programs for teacher education candidates which are interspersed throughout their training program and involve classroom teachers from the school site;
- projects involving college and university faculty and elementary and secondary school faculty in exploring the practical application of education research and evaluation findings.

These school, college, and university partnership efforts should be funded through a 30 percent set-aside of Part A to insure that these types of activities are given appropriate funding priority.

For Effective Teachers, Learning Never Ends

Teacher education programs are essential as a foundation for practice. But as one whose workaday world is the school classroom, I have no doubt that learning must be lifelong if one is to be an effective teacher. A competent, professional teacher must be able to share and compare his/her classroom experiences with other professionals to refine and develop the best teaching strategies. At the same time, an effective teacher -- like any other professional -- must keep abreast of new developments, new information, that will make a difference in his/her job performance. This kind of professional development is a prerequisite to ''mastery'' in teaching. I view it as an important safeguard against a ''flabby'' curriculum, ineffective instructional techniques, and low student interest and achievement. Professional development is also an insurance policy against the widespread problem of teacher burnout.

As a recent Carnegie Foundation report, describing the multiple and varied duties of the average classroom teachers, points out:

> ''Strikingly, while performing these myriad duties, teachers spend little time in the company of other adults. This one condition may, in fact, separate teaching from most other professions...The combination of the self-contained classroom and a heavy teaching schedule gives teachers few opportunities to share

common problems or to sustain an intellectual life.''

From a more practical standpoint, the importance of ongoing professional development is found in examining what teachers face in the 1980s. Today's teacher deals with an increasingly diverse school population -- a population which may include the advantaged and the disadvantaged, the native-born and the most recent immigrants, the gifted, the underachiever, the handicapped, the limited-English speaking. Add to that mix the increasing numbers of young ''walking wounded'' in our classrooms who are chemically-dependent, emotionally disturbed, severely depressed, or victims of child abuse or family stress. Consider, too, that each child is different from another in terms of his/her social, psychological, and intellectual needs and abilities.

Facing so many varied students, day in and day out, and assuring that they learn requires critical thinking skills, subject matter expertise, a sense of fairness, the application of good classroom management techniques, the application of creative ideas and new teaching strategies, new methods of curriculum innovation, and the application of developing technologies.

Mr. Chairman, no one acquires such skills in a vacuum. No one acquires them by taking a few years of college education courses, or by staying isolated in a classroom in perpetuity. One gains these skills through constant and continual interaction with one's colleagues and other educators. One gains them through learning experiences in both formal and informal education settings, and through a constant renewal of the strengths initially brought into the profession.

Part B, Professional Development Resource Centers

NEA recommends that federal support be directed to the continuous improvement of both teachers' professional skills and specialty and subject matter expertise through the establishment of a newly named Part B -- ''Professional Development Resource Centers.''

Donna Kerr of the Institute for Advanced Study at Princeton University views the current state of teachers affairs this way:

''There is a disturbing duplicity in a society that itself fails to create the conditions that would foster teaching competence and then complains of incompetent teachers.''

Over the years, studies have stressed the need for such professional support for practicing teachers. Teachers need an adaptable mechanism to renew and refresh their skills and to foster collegial support. Working in a school building must involve teamwork. PDRCs would provide year-round opportunities for personal professional development and collegial assistance in problem-solving.

Such centers could use a variety of resources including faculty specialists, business and public service representatives, and community leaders to assist teachers in group and individual activities. Most importantly, they can use teachers themselves as instructors of their colleagues. This would be a morale booster and an incentive for those excellent teachers who are currently an untapped resource to help foster improvements in the teaching ranks.

Professional Development Resource Centers should be locally designed and implemented. They should enable and encourage local education agencies to offer a program responsive to practicing classroom teachers' needs. They should offer professional education developed by and for teachers.

Part C, Summer Institutes

NEA also believes that federal grants to operate summer institutes and/or workshops for teachers and college faculty can be an important element in continuing professional development. Such institutes or workshops can be particularly valuable as a way to focus intensively on a few specific areas rather than the variety of areas that can be dealt with in the adaptable Resource Centers.

Classroom teachers and/or faculty should play an active role in helping to identify the objectives of any institute. It is also essential that adquate stipends be offered to enable teachers to attend. While it is a commonly held notion that teachers have the summer off, the reality is that teachers often work another job in the summer as a means of economic survival.

Part D, Data Collection and Research

We recommend that Data Collection and Research should be added to Title V as Part D. The nation's teaching force is changing rapidly as the highly experienced depart through retirement, the younger teachers leave for other, often higher-paying, occupational opportunities, and the numbers entering the profession decreases. Current data on supply and demand for education professionals, both on their numbers and their subject matter expertise, are essential to informed policy decisions. Support for data gathering and statistical analysis by the Education Department will enhance the program effectiveness of activities under Title V.

Finally, we wish to express support for the Carl D. Perkins Scholarship and Talented Teacher Fellowship Program already authorized in Title V. We believe these programs merit the Subcommittee's support and assistance in obtaining funding.

The Leadership in Educational Administration Program also should be included in Title V where it logically fits. School effectiveness research clearly supports the principle that effective leadership in our schools is an essential element in promoting good teaching in the classroom.

Mr. Chairman, the crisis in teaching must be addressed for the good of education and for the continued wellbeing of this nation. A restructured Title V, as outlined in our statement, would begin the process of revitalization that must occur if we are to achieve our goal of educational excellence for all.

Federal participation is a critically needed asset in finding answers to the problems of attracting, retaining, and promoting continuing professional development of talented teachers for our schools. In your deliberations on how to improve our nation's schools, we urge you not to overlook the teachers of today and tomorrow. A means for professional development of our current teaching corps is essential.

Excellence in teaching produces excellence in education which translates into the basic ingredients for a vibrant economy, a strong defense, and a healthy democracy.

Other Higher Education Act Titles Present Challenges

Other titles within the Higher Education Act have programs of considerable interest to the NEA as well. I would like to mention several of them today. We have submitted testimony to the Subcommittee in some of these areas already.

TITLE IV RECOMMENDATIONS

Student Financial Aid

NEA recommends increasing both the maximum grant award allowable under the Pell Grant program, as well as the percentage of costs that such grants can cover. Maximum grants should be increased to offset the eroding effect of inflation. Further, increasing the maximum grant and the percentage of costs covered by such grants is centrally linked to equity of access to postsecondary education.

Our specific recommendation is to increase the maximum to $2,800 for FY 86-87, and by an additional $100 in each of the succeeding four years. Students should be entitled to cover up to 75 percent of their costs of attendance. In this way, a grant, when combined with parental contributions, student earnings, and other forms of financial aid, can make a higher education accessible to many students who would otherwise not be able to afford it.

''Nontraditional'' Students More Prevalent -- Have Diverse Needs

The composition of the student population in our nation's colleges and universities is rapidly changing. It is comprised of a larger and growing number of so-called nontraditional students -- those who may be older; those who are of color; those who are in significant financial need; those who are first generation college students; those who must work while enrolled in school;those who are returning to school for retraining or advanced learning; those women who are displaced homemakers, single heads of households, widowed, or divorced; and those from new immigrant populations. It is a diverse group. But it is marked by one unifying characteristic -- it is composed of individuals who historically have had limited access to postsecondary education and the opportunities it can provide.

In light of this changing student composition, NEA believes that it is increasingly critical to make adjustments in our student aid programs to accommodate the needs of these nontraditional students. Adjustments in student aid policy for students attending less than half-time while pursuing a degree, accommodations for child care, and a realistic increase in the commuter allowance are some of the issues that must be addressed in this reauthorization.

NEA recommends that language regarding the Supplementary Education Opportunity Grants be amended to ensure that these funds be targeted to students with exceptional financial needs. NEA also supports funding increases for the highly successful Special Programs for Students from Disadvantaged Programs (TRIO) and the High School Equivalency Programs and College Assisted Migrant Program (HEP/CAMP).

NEA also urges the Senate to support a modest increase in the Graduate Student Loan (GSL) program's annual and aggregate loan limits. However, we must underscore our belief that grant aid should be the primary means of assisting financially needy students. Forcing needy students to borrow will only exacerbate further the existing problem of heavy indebtedness for those in the worst financial position to absorb the debt.

For these reasons as well, we urge the Subcommittee to launch a new graduate grant program based on financial need. Such a program would further educational equity, help hold down indebtedness levels, and promote the health of the graduate education enterprise in our country.

Mr. Chairman and Members of the Subcommittee, the NEA has a variety of other concerns central to this reauthorization. We shall submit for the record a copy of our legislative recommendations for eight of the Act's thirteen titles.

Conclusion

NEA stands ready to continue working with this Subcommittee and the Congress to help improve teaching and the state of postsecondary education. We thank you for this opportunity today for our input into this vital process.

Responses to Questions by Senator Hatch

1) The proper division of responsiblility between student, parents or other family, educational institution, the private sector, and government in financing post secondary education.

The major resposibility must lie with need and ability to pay.

I believe that the wealthy must pay their own way.

I believe that the poor must have help if they are ever to have a chance to succeed. This help must come from the university in the form of tution waivers, and university housing. Private business must become much more heavily involved. The large corporations that have a taxes reduced during the past 10 years should be willing to see that we have a productive workforce in the future and must shoulder some of the responsibility of helping to educate those unable to afford post-secondary education yet are capable of success if given the chance.

My personal concern and the one I hear the most from my students, is the amount of costs facing the "middle class". The opportunities for financial assistance are greater than 10 years ago but not nearly enough is available. These students will have to have some financial assistance in the form of low cost loans and grants made available from private business and the government. Financial assistance must be based upon secondary achievement, test scores and the chosen major field. If we are to revive the interest within the middle and upper classes in becoming a teacher, we must provide some incentives early enough to make the teaching career attractive.

2) The proper balance between loans, grants, and work in financial aid packages in order to ensure a students's maximization of his education.

I believe that all three should be available whenever there is need for additional financial help beyond the parents and/or other family contributions. Grants should be made available to all those willing to teach in the public schools following graduation. By choosing to teach, a student will be limiting his/her financial successes and therefore should be given the opportunity to graduate from college with a very limited amount of indebtedness. These grants should be funded by the educational institution, private business and the government.

NEA recommends increasing both the maximum grant award allowable under the Pell Grant program, as well as the percentage of costs that such grants can cover.
Maximum grants should be increased to offset the eroding effect of inflation. Further, increasing the maximum grant and the percentage of costs covered by such grants is certainly linked to equity of access to postsecondary education.
In this way, a grant, when combined with other forms of financial assistance, can a make higher education accessible to many students who otherwise could not afford it.

Loans are essential and a reduction in the amount that needs to be repaid based upon a certain number of years of successful teaching will continue to be a real incentive to enter the field of education. All loans must be set up such that definite and reasonable guidelines for repayment are followed.

3) _Whether_or_not_more_resourses_for_financial_aid_should_be channeled_to_institutions_for_disbursement_through_them_to students_and_why.

I would strongly endorse the return of the National Science Foundation grants that I participated in while acquiring my Masters degree. These new grants should be handled essentially as they were during the 1960's with the colleges or universities receiving the monies. These institutes must be limited in scope and specific in nature. The design of the course offerings and objectives must be planned by both secondary faculty members and those of the university.

These grants would help to 1) retain the better-than-average math and science teacher; 2) upgrade their skills at no additional costs; 3) retrain teachers from surplus areas to equip them to teach in a need area; 4) attract potential math and science teachers with the prospect of no-cost graduate classes.

Private business, which has been hiring a large number of potential better-than-average teachers, needs to be seriously involved in the funding of these institutes. Tax incentives should be allowed to encourage their participation.

4) _whether_or_not,_and_how,_greater_concern_with_a_student's educational_achievement_levels_should_be_made_part_of_criteria for_financial_aid.

There should be a direct correlation between the continuation of financial assistance beyond the second year and academic achievement. Two years should be sufficient for most students to overcome any secondary school deficiences, make a definite career choice, and become a productive student.

Two years spent pursuing a definite program at community or junior college will be sufficient for many students to achieve their educational goals and the continuation of financial assitance here must still be determined at the end of two years. More financial assistance must be made available at this level.

Senator Stafford. I am going to, I think, reserve to members who cannot be here this afternoon because of the Senate session and other committees the right to submit questions in writing to you if that would be agreeable in case some do have questions. I do have some that I will present to you now.

I would like, first of all, to say, Mr. Lansford, that I have a daughter who has been a teacher for 12 years. She teaches handicapped children. She is not noted for keeping her opinions to herself, so I get a pretty good reading on the secondary school level of what we ought to be doing here from her. And I have another daughter and son-in-law who are on the faculty at Cornell University. So they give me their view of how things ought to be done here, too.

My first question is to you, Dr. Lanier. Do your demographic studies point to particular parts of the country that will experience severe teacher shortages? What, for example, might be the situation in Michigan in the next few years?

Dr. Lanier. We expect that the Michigan demographics do show that there will be a need because of the retirement, the age of many of the teachers, and we expect a large need. In fact, this year there were three applicants for every person we could admit at Michigan State University. There is a great variability, though, from what I gather across the country, even within cities. I mean, we have a sense that all large cities need teachers. That is not quite the case. Philadelphia, apparently, does not, but Los Angeles and New York do. The picture is variable; in summary, I mean, it is very severe in some places and not in others.

Senator Stafford. The New Jersey Legislature recently passed a package of teacher incentives, including minimum salary and a loan repayment program to attract talented students into the field of education. What does your research say about the potential for this kind of a program successfully addressing problems of quality and quantity in the teaching profession?

Dr. Lanier. Is your question what research says about the program in New Jersey?

Senator Stafford. Yes; if you have it.

Dr. Lanier. I do not think that that particular program has been studied. I know that there are requests to study that in place and some discussion about that going to be done very soon.

Senator Stafford. All right.

Dr. Lanier. There are studies of teacher education that do have implications for the kinds of curriculum and the kinds of supervision that are needed, not enough, because this field, as I was trying to say earlier, just as the field has been kept and given brief attention because people have only been in it for a short period of time, the research and serious study of this field has also been neglected, I think, because it has been in such constant turnover.

Senator Stafford. How has the school of education at Michigan State University, responded to criticism about the way teachers are trained today?

Dr. Lanier. Well, one of the major things that it did was to reduce its size. In the sixties it was responding to the Nation's need for large numbers of teachers, and classes were unconscionably large. We just sometimes refer to that period as batch processing when you had large lectures and you were lecturing on how you individualize instruction with youngsters. It was extremely difficult.

Class size has been reduced substantially. We have increased the working relationships with schools and the working relationships with outstanding teachers in terms of sharing responsibility better. We have five programs, rather than a single one, that are based on, we think, sound approaches to teaching. We are studying those to see with what kinds of different candidates they seem to work better. There is probably not one single way. We have engaged in a major series of efforts on curriculum reform. Teachers of today simply need to know and be more competent than they can come to be without compromising the larger curriculum of the 4-year study. That is, the majors and minors from the general liberal arts curriculum are needed. We are attempting to trim actually the pedagogy that is offered so that we do not compromise the other, but find then a way of continuing it and expanding professional education so that it is made more of a graduate, professional line of endeavor.

Senator STAFFORD. Thank you very much, Doctor. Let me now turn to Dr. Jones. What steps have the California State University campuses taken to avoid a predicted teacher shortage in the next few years?

Dr. JONES. Doing some of the things that I outlined in my testimony; we are working to attract more able students to teaching. We did raise our admissions standards beginning fall of 1986 so that only those students in the upper half of their class can be admitted to teacher education. I am pleased to report that in our State where entry salaries have gone up and we are getting out the word that there are teacher shortages and there are jobs, that enrollment in our institutions is going up. Whether it will go up enough to meet that 110,000 shortfall we expect, I really cannot say.

We are also planning a major publicity campaign throughout our State to encourage young people to consider teaching as a profession.

Senator STAFFORD. Does California have a State teacher examination?

Dr. JONES. To the extent, sir, that it tests basic skills; there is the California Basic Educational Skills Test. So far that is the limit of testing teachers in the state.

Senator STAFFORD. All right. Thank you. Dr. Murphy, you mention in your testimony that low salaries and poor working conditions drive teachers out of the field, a theme I have heard from my daughter as well, I might say, and that a number of States have developed programs to address this problem. Could you describe some of the programs that might do this.

Dr. MURPHY. You mentioned New Jersey, Mr. Chairman, as one State that has raised the minimum salary to $18,500. That has also happened in a number of other States. In the State of Massachusetts, the minimum salary has been raised to $18,000, other States across the country are pursuing this as one vehicle to attract more teachers.

In my view, there is a limit to how far you can push that because the cost of raising salaries is very, very high. According to one estimate, if you were to raise the average salary of teachers by $2,000, the cost would be somewhere in the neighborhood of $5 billion. I think we need to think about teacher salaries at a livable level and go toward other mechanisms to try to improve the working conditions of schools.

One of the things that the States are trying to do is develop a variety of professional development programs aimed at making teaching in schools a more desirable activity, providing opportunities for teachers to get together. When you talk to teachers in the schools, one of the things you hear over and over again is that they are isolated from one another. They do not have an opportunity to get together either to talk about the children that they are dealing with or to talk about professional development activities. A number of States are beginning to address these matters.

Senator **STAFFORD**. Thank you. In your written testimony you mention support for a teacher testing program, although, as you know, there are some witnesses who have spoken against such a plan as a quick fix. How would you respond to that charge?

Dr. **MURPHY**. My response, sir, is that one needs to think about testing for entry into the profession as one way of making sure that the people that enter the profession are well qualified. It is not the only way and it should not be used as the only device.

I also believe that if teaching is going to be recognized as a profession, it needs to follow the lead of other professions, such as the law where there is an entry level test.

Senator **STAFFORD**. Thank you very much. Mr. Lansford, in the past few years public attitudes about the quality of education offered in our schools has changed quite dramatically. In your experience in Denver, are public schools improving at this time?

Mr. **LANSFORD**. I believe they are. In Jefferson County where I teach, we have had some very innovative programs. We have had a staff development academy for probably 10 years and we have done those kinds of things. We pay decent salaries. We have attracted teachers. We have built new buildings. We have done everything we can.

Senator **STAFFORD**. Thank you very much. Senator Simon, do you have some questions?

Senator **SIMON**. Yes; just briefly, Mr. Chairman.

Mr. Lansford, first, I notice on the last page of your statement you say, "We urge the subcommittee to launch a new graduate grant program based on financial need." I would love to tell you that we can do that this year. I happen to strongly favor something like that. I think the reality is that is not going to pass in the financial climate that we have right now.

Would it be helpful to teachers to have some kind of a special financial grant for graduate work? Would we be encouraging teachers to upgrade themselves? It would be a more limited kind that would not be available to engineers and architects and many others. I am just curious what your reaction might be to something like that.

Mr. **LANSFORD**. During the 1960's we had the National Science Foundation grants. I was teaching then and took part in them. I ended up getting my master's degree from that and I found it an outstanding program. I would think that that would really be an incentive for teachers to be able to take the summer or take night courses in a tuition waivered situation, room and board if you wanted to leave the State. But I think they would be outstanding.

Senator SIMON. Thank you. Dr. Lanier, I was intrigued by, first of all, your statement that it is possible standards are going to drop. I think that is a great danger. Our standards are not as high as they ought to be right now, in my opinion. As demand grows, inevitably the temptation is going to be there to lower standards. It will be a temptation that does a great disservice to the Nation.

But you present an idea I have not read anywhere before, and it probably shows the paucity of my reading rather than the novelty of the idea. But that is having service teachers and professional teachers. Presumably the service teachers would take the usual courses and then end up teaching and then if you wanted to be a professional teacher you would have to take additional studies and pass additional tests, and then you would also receive additional compensation.

Dr. LANIER. Yes; that is the plan that is under development, and it seems that it would enable us to pay the career professional teachers substantial amounts of money that would attract and keep outstanding people. And then the others, which has been referred to as Peace Corps types, would come in for short stints but would have graduated and work under an outstanding career professional.

Senator SIMON. What percentage of the teachers would be professional?

Dr. LANIER. We are estimating 1 to 5 or 1 to 4 of the career professionals, a fifth or a quarter of the teaching force.

Senator SIMON. Has anyone tried this anywhere?

Dr. LANIER. I do not believe so. But there are analogies in the sense of the Peace Corps or ROTC or other areas.

Senator SIMON. It is an intriguing idea. It seems to me one of the advantages of having 50 States is that we can try something like this in a State or two or even within a region of a State. It is an intriguing idea.

Dr. Jones, in Dr. Reynolds' statement you say, among other things, "There is a critical need for applied research on what constitutes and results in effective teacher education programs. It is gratifying that the National Institute for Education will support a research center on teacher education."

Are you concerned or are there concerns—I guess I could ask any of you this—with the disbandonment of NIE and the new restructuring that is taking place in the Department of Education? Is this viewed as downgrading research? What kind of reaction do you have?

Dr. JONES. Senator Simon, I am not current on exactly what is happening there. I would defer to my colleagues who might have comments there.

Senator SIMON. Do any of you have any reaction? Dr. Lanier?

Dr. LANIER. Yes; I think there is a mixed set of feelings. One is concern that it would be the loss of educational research that in recent years has come into its own and to begin to be very useful and constructive to the field. On the other hand, there are some who feel hopeful that the changes that are proposed will result in strengthening research in education and particularly research that is related to the improvement of teaching and schooling in this country.

So I would say at least from the exchanges I have with the American Educational Research Association and others in higher education, that the present sets of views are quite mixed, but the concern is there that support for educational research be strengthened, if anything, given the times and the needs in our schools.

Senator SIMON. Dr. Murphy.

Dr. MURPHY. Senator, I was at a meeting last week with Dr. Finn, who is the new assistant secretary and these very questions were asked of him. I was reassured by his response that his intention is to continue with the competition that is now going on for the new research centers. And in his discussion of the reorganization, he made it plain that his intention, as well as the intention of the administration, is to maintain, if not increase, the amount of resources and the attention given to research.

So at the moment I am guardedly optimistic the changes that are put forth will in fact help rather than hurt research funded from the Federal level.

Senator SIMON. All right. Dr. Murphy, you say, "I welcome the recent moves toward teacher testing as one way to improve quality." I agree it does establish some minimums. I guess my greater concern is that we attract those who are way above the minimum. Mr. Lansford referred to that indirectly.

May I ask what are your schools doing to raise, not simply to have a minimum, but to raise that maximum so we really do appeal to our finest young people to get into the field of teaching?

Mr. LANSFORD. The primary efforts at our institution have included trying to make the preparation of teachers more professional. That is, you take something like entering classes—teachers in the past, their programs of teacher education have come in as individuals and gone through not as a group like when you have a profession, you enter a group, you celebrate that class and its entrants as it matriculates and its graduation. So there have been small things such as that, though that is not so small when it comes to replanning classes for a large university, but making the work more professional, reducing class size so that there is a lot of mentoring between faculty, not a two-class faculty, like a graduate and undergraduate faculty, but those who teach teachers who spend close and serious time with them, as we would hope they would with youngsters in schools.

So, it has been moving from a large lecture, lots of people being produced, to a much more serious, careful selecting and screening. And as it becomes viewed as important and tough, it becomes more desirable and attractive to others and also sharing and celebrating its importance.

Dr. JONES. Senator Simon, we are engaged in a similar effort. I think I mentioned that we will be raising our scholarship requirements so that only those students in the top 50 percent of their class will be admitted to teacher education programs. We are also trying to assure that students have a real grasp of what it is like to teach before they are admitted to teacher education programs. So we are requiring an early field experience.

We are requiring that they get out in a school under the supervision of our university faculty. We think that will offer an opportunity for cooling out before people get into our programs.

We are also doing something to insist that our academic departments begin to take a greater role and assume a greater responsibility in the preparation of teachers in the subjects that they are going to teach. Before a student can be admitted to the student teaching program, his or her academic department will have to certify that that student has sufficient command of the subject matter to be successful as a teacher. That does not mean they will have all the knowledge about how to teach, but we want to be assured that that student has done well enough in history or English or chemistry to be a successful teacher.

We have also asked for and received from our State increased support so that we can supervise our student teachers somewhat more closely. And we also believe that that is going to contribute to the kind of quality. We are not going to be recommending people for credentials just pro forma. We are going to be taking a very careful look at them.

Dr. **Murphy**. Senator Simon, we have set up two new programs to attract the kind of people that you are talking about. As I mention in my testimony, we have this midcareer math and science program, and to give you some idea of the attraction for the people in high paying jobs to go back into teaching, there were 20 slots in the program this year. We received more than 625 inquiries. Now, these are people who come from high-paying jobs, who scored very, very highly on the tests and are exactly the kind of folks that I think that you are talking about.

The second program that we have just established is a program with Harvard College which is designed to attract people who are going to get a liberal arts degree, who plan to go into a profession, say law or medicine, but who would like to spend a couple of years teaching before they go into the profession that they want to spend their life in.

What we have found is that if you argue with them the point that we are not trying to attract you into a lifelong career, but would it not make sense to get into public service activities for a few years before you go to graduate school, that there are a lot of students out there who would really like to do that.

This is the first year of the program. We are trying to get 20 slots. We have more than 85 people who have expressed interest in the program. Our experience is that there are a lot of people out there who would have an interest in these types of activities.

Mr. **Lansford**. You know, I agree that upgrading the standards would be wonderful and attracting some students to that is probably going to happen in the next few years. But my real worry is that we will not retain those people. The Peace Corps idea is great for awhile, but we need people who are going to stay, and unless you start with something like a decent beginning salary—right now the national average is $14,800 for a starting salary.

The national average salary in this country is about $24,000. You are not going to keep a bright person in teaching with those kinds of situations when the teaching conditions are what they are. Three years ago my high school was offering a computer course with three computers. We now have 18. That is a big improvement, but can you imagine the frustration of the students and the teachers when you had three computers. Those computers are expensive, and unless there is a lot more money from someplace, you are not going to obtain more of them.

Senator SIMON. I thank you all. You have been excellent witness. Thank you, Mr. Chairman.

Senator STAFFORD. Thank you, Senator Simon. Senator Pell.

Senator PELL. Thank you, Mr. Chairman. I would ask unanimous consent that my opening statement be inserted in the record.

Senator STAFFORD. Without objection, it certainly will.

Senator PELL. I will not ask any questions at this time. I thank the witnesses.

Senator STAFFORD. I thank the panel very much indeed for being with us and helping us as we start our work to reauthorize higher education.

We have two more panels this afternoon. The next one is Mr. Kenneth Ryder, who is president of Northeastern University in Boston, MA.

Senator SIMON. Excuse me, Mr. Chairman, because I am going to have to leave before Dr. Ryder's testimony is finished, I simply want to go on record as applauding the very unusual leadership that Dr. Ryder has provided Northeastern University. He has been a pioneer in many ways, and this Nation is a richer nation because of his leadership.

Senator STAFFORD. Having graduated from Boston University Law School back in 1938, my vague recollection is that Northeastern used to be out near the YMCA. So that has changed a good deal since then, Dr. Ryder.

STATEMENT OF DR. KENNETH G. RYDER, PRESIDENT, NORTHEASTERN UNIVERSITY, BOSTON, MA

Dr. RYDER. It has. When I graduated from Boston University in 1945, Northeastern was still a very small place. Now it has about 56,000 enrollment.

Senator STAFFORD. When I went to the law school, it was on Beacon Hill in an undistinguished, little, old granite building, as I recall.

I suppose we are not here to reminisce. Mr. President, we would be glad to hear from you.

Dr. RYDER. Mr. Chairman, and Senator Pell, and Senator Simon, I am here not only as the president of a large urban university, but also as the former chairman of the board of the Association of Urban Universities. I certainly appreciate the opportunity to testify on title XI of the Higher Education Act and on other matters of importance to the urban university community.

Our legislative request with regard to title XI is rather simple. We ask that it be extended for whatever period of time you extend the act as a whole and with such authorization levels as you believe are compatible with the budgetary pressures under which we are all squirming and operating today.

Title XI, put rather simply, recognizes that the urban university is a distinct kind of institution located in but also very strongly committed to serving a city of middle to large size.

It provides authority for the Secretary of Education to make small grants to those universities to help them develop cooperative programs with their cities aimed at meeting problems the cities see as most important. Oddly enough, the fact that title XI has never been funded has not prevented it from having a very valuable effect. Its enactment in 1980, I believe, served to encourage the kind of town-grown linkages which its funding would assist in carrying out.

I guess I am realistic; I am not optimistic that it will soon be generously funded, but I do hope that the Congress will see fit to retain the title in the act as a reinforcement of the notion that the university can be a useful resource for the development of local solutions to local problems.

I would hope, too, that a modest appropriation can encourage the initiation of new urban partnerships to solve serious urban problems. Let me give some examples from the point of view of Northeastern in recent times and the city of Boston. We have experimented modestly with all kinds of helpful gestures to address problems that were apparent to the political leadership and to the community at large.

We have worked with our health science faculties and students in a neighboring, elderly home where alcoholism was a severe problem and attempted to deal directly with that issue. Our College of Criminal Justice has worked with the Boston Police Department to research the computer records of the department to analyze, in fact, the use of personnel and to increase the effectiveness of deployment to areas of high crime and frequent delinquency.

Our economics department has worked with the city and neighborhood groups making economic studies of the feasibility of developing a very large tract of land near the university near a new subway station that is being constructed. We have worked with the school system extensively for several years helping to develop new social science curriculums that would particularly address the problem of racial tension, ethnic diversity, and in the entire period from kindergarten through grade 8 introduce students to an understanding of people with different backgrounds.

Our education department has worked with the schools in helping to computerize management information systems for administration and more effective maintenance of student records. We know as an institution that this kind of partnership is valuable and we know that there is much more than could be done throughout the country as each university is challenged to address the local problems of the local urban area.

I would at this point like to address my attention briefly to two other issues that are part of my formal statement. First, the urban universities, public and private alike, would like to urge the amendment of title IV by striking from it the prohibition against part-time students applying for student assistance. We believe that Federal student aid should continue to be awarded on a need basis, but we do not believe that the law should recognize that the less than half-time student is without any opportunity to benefit from such aid.

Second, I would urge on the subcommittee favorable consideration of legislation similar to that that is now being circulated by Representative Terry Bruce of Illinois which would put the services of the whole higher education community to work on issues of economic development and job creation.

We in the urban universities believe the university has an obligation to its community and we would find the Bruce proposal fully compatible with title XI.

I appreciate the opportunity to appear before you, Mr. Chairman. I will cease my presentation before the red light goes on.

[The prepared statement of Dr. Ryder follows:]

The Association of Urban Universities
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STATEMENT BY
KENNETH G. RYDER
PRESIDENT, NORTHEASTERN UNIVERSITY
before the
UNITED STATES SENATE
COMMITTEE ON LABOR AND HUMAN RESOURCES
SUBCOMMITTEE ON EDUCATION
HON. ROBERT T. STAFFORD, USS, CHAIRMAN
Thursday, September 26, 1985
IN SUPPORT OF THE RE-ENACTMENT OF
TITLE XI
of the
HIGHER EDUCATION ACT

MR. CHAIRMAN, members of the Subcommittee on Education, I am Kenneth G. Ryder, President of Northeastern University, and I appreciate this opportunity to appear before you in support of the re-enactment of Title XI of the Higher Education Act, known as the Urban Grant University Program. My good friend and neighbor, Dr. Robert A. Corrigan, Chancellor of the University of Massachusetts in Boston appeared earlier this month before the House Subcommittee on Postsecondary Education for the same purpose. If our separate statements bear a distinct resemblance, it is at least partly because on this issue, there is a remarkable affinity of interest and objective bringing together differing institutions within the higher education community who share an urban identity and mission.

Title XI was enacted in 1980, when the Higher Education Act was last reauthorized. Essentially, the Title recognizes the urban university as a distinct type of university--an institution not only located in a city, but drawing a substantial portion of its students from that city, and moved by a commitment to being a good neighbor--to serving the city and its people.

Substantively, the Title authorizes the Secretary of Education to make small grants to those universities, or to consortia of which they are a part, to enable the institutions or consortia to carry out programs of applied research, training and service aimed at problems which the cities in which these universities are rooted have deemed to be of major importance.

There is not a lot more to the Title than that. It was consciously designed to leave the Secretary with a maximum of flexibility in awarding grants, and a minimum of need to issue regulations. The identity of the problems to be addressed, the means by which they shall be approached--all of these details are left to local determination.

Title XI had a remarkably bi-partisan genesis--having been enthusiastically co-sponsored in the Senate by Senators Eagleton of Missouri and Lugar of Indiana--and in the House, by Representatives William Ford of Michigan, John Buchanan of Alabama, John Ashbrook of Ohio, and a host of other members of both parties and all parts of the ideological spectrum. It became law in 1980 literally without a dissenting vote or word in either House.

The existence of Title XI on the statute books has clearly resulted in the wide encouragement, among universities from the public and the independent sectors alike, of the growth of the kinds of town-gown linkages the Title envisages. In the past five years, the development of cooperative relationships between City Hall and the campus has expanded to include a wider section of the community than merely the political structure. Business and Industry are building closer and closer ties with the academic world in joint efforts to make their cities better places in which people can live, companies do business, and universities can function as centers of learning and teaching.

So, it can be said that Title XI has worked. It has done so, if I may say so, in a remarkably cost-effective manner. The Title became law, I remind you, on October 3, 1980, and has yet to be funded. Even without funding its simple presence on the statute books has served as a recognition of the unique importance of the urban university. With modest funding, it could do even greater things.

Let me, by way of illustration alone, tell you some of the things that Title XI has encouraged at Northeastern University--programs by which this largest of the nation's private universities seeks to be a good neighbor and citizen in one of the nation's oldest and largest cities--programs which are analogous to activities carried out by other universities in other cities across the nation, and which could be replicated, adapted to local needs and carried out elsewhere with assistance under Title XI:

-- A self-help program for residents of the Symphony Towers Elderly Housing Complex aimed particularly at dealing with the serious problem of alcoholism among residents.

-- A complete evaluation of the Boston Police Department's computer records, resulting in a more efficient deployment of police manpower resources and a more useful organization of crime data.

-- The development of a model K-8 social studies curriculum tailored to reflect the ethnic diversity and cultural commonality of Boston's population--in 13 elementary and middle schools.

-- major involvement of the University's Office of International Affairs in the development of Boston's world trade opportunities.

-- special opportunities for city employees to earn MBA degrees

-- The College of Business Administration's Small Business Institute, providing hands-on experience in helping small businesses identify and meet problems.

-- (This is particularly typical of Northeastern University, with its major commitment to cooperative education) the placement of about ten thousand undergraduate and graduate students with some three thousand employers in the metropolitan area and beyond in serious, full-time employment, as part of their learning experiences. Among the employers involved are eight of Boston's great hospitals; The Boston Globe; the City of Boston; The Commonwealth of Massachusetts; The United States Government; Honeywell, Inc.; IBM; John Hancock Mutual; Raytheon; Wang Labs; and, the Massachusetts Institute of Technology--all of whom know where to come for the very best.

The higher education community is in general agreement with regard to the reauthorization of Title XI. Earlier this year, several higher education associations, including the Association of Urban Universities, the American Association of Community and Junior Colleges, and a Task Force of the American

Council on Education, each submitted specific reauthorization language to the House Subcommittee. The differences among these three packages are trivial, and I think it accurate to say that the community is agreed that any one of the three proposals could be adopted in its entirety without doing substantial harm to Title XI. The AACJC proposal, which I have appended to this testimony, is the most comprehensive of the three, and the Association of Urban Universities and the Members of the ACE Task Force, including ACE, The American Association of State Colleges and Universities, The Association of American Universities, The National Association of Independent Colleges and Universities, The National Association of College and University Business Officers, The American Association of Community and Junior Colleges, and the Association of Community College Trustees, join with me in endorsing it as a whole.

Basically, the community proposals recommend extending the life of the Title, for the same period of time as the Congress sees fit to extend the remainder of the Act.

We propose "such sums" authorizations, in lieu of the specific ceilings in present law, but we would be content with whatever other numbers the Committees find consistent with the budgetary pressures under which you function.

The remainder of the amendments are essentially perfecting amendments, clarifying what we all believe was the original intent of the Act, making sure that the word"university" in the name of Title XI does not act to deprive cities of the rich awards under the Title, when it is funded, shall be made by the peer review process.

I will quote from Bob Corrigan's testimony earlier this month--and from the testimony two years ago of another colleague on the Board of the Association of Urban Universities, Father Edward Glynn of St. Peters' College in Jersey City:

"Title XI isn't broke. Don't fix it."

The renewal and these minor amendments to Title XI, as I said earlier, have the endorsement of a number of the higher education associations. The remainder of my testimony reflects my own views, though I believe they are shared widely in the community.

There is one proposal now being circulated by Reoresentative Terry Bruce of Illinois which would complement Title XI, and to which I would call the attention of the members of this Subcommittee.

The Bruce bill addresses itself to an activity which is not strictly urban in its nature, but which is so compatible with the public service concept on which Title XI is founded that the urban universities can only applaud it. The Bruce proposal would encourage the active and systematic involvement of postsecondary education institutions in the economic life of the communities they serve. The Bruce proposal will also enable us to utilize more fully our nation's enormous educational resources in developing economic initiatives, technology and business operations in the ways we must go if we are to resolve our growing trade deficit. I endorse the principles of the Bruce bill, and recommend it to your consideration as a possible complement to Title XI.

Let me conclude by making one strong recommendation with regard to Title IV. I would recommend that the Subcommittee--and the Congress as a whole--amend Title IV by striking from it the provisions of Sec. 484(a)(2) which require a student to be enrolled half-time or more to be eligible to apply for student assistance. The urban universities in particular, and the rest of higher education as well are witnessing a demographic change in the nature of the people who are coming to our doors for postsecondary education. To a growing extent, college students today less and less meet the stereotype of earlier years. They are, increasingly, older, longer out of high school, with greater experience in the world of work, and to a marked degree, many are trying to combine work, marriage and education--with education necessarily being less than a full-time occupation. Most of these students, precisely because they work, will be unable to qualify on a needs basis, for student aid programs--and this should not be changed. But they should not be prohibited, as the law now prohibits them, from applying for assistance, to see if they do in fact,qualify on the basis of individual demonstrated need. Other adults, such as welfare mothers witth dependent children, clearly could qualify and should be encouraged to improve their skills and qualify for full-time employment.

I urge that the ban on less-than-half-time students be stricken from the Act, that they be enabled to qualify, to the degree their individual need justifies, for Pell Grants, and, to the extent the lenders and colleges are willing to extend it to them, for the other campus- and lender-based aid programs.

Mr. Chairman, Members of the Subcommittee, I have appreciated the opportunity to testify on the reauthorization of the Higher Education Act from the perspective of the presidency of an urban university. There are, of course, dozens of provisions of the Act which will impinge upon the urban sector of higher education--some in ways unique to that sector. For the most part,however, our concerns are those of the rest of the community. We hope for speedy renewal and generous funding of the Act. If that seems an unrealistic expectation in a time of growing budget deficits and massive trade imbalances, affecting our national strength in ways we have only begun to realize, let me only say that appropriations to enhance the knowledge and skills of our nation's citizens and to utilize more effectively the training and research capabilities of our colleges and universities should be viewed, not as expenditures but as investments in our nation's future.

Senator **Stafford**. I have said it before to other witnesses, Mr. Ryder, but Calvin Coolidge would be proud of you. I have no question, but I want you to know that a student from Northeastern University was a witness here at an earlier hearing, and she represented Northeastern very favorably and you should be proud of the sort of student you are producing.

Dr. **Ryder**. I am very pleased; I am not surprised. The co-op plan that gives the students a chance to mature as early as their sophomore year in college makes a big difference.

Senator **Stafford**. Thank you. Senator Pell.

Senator **Pell**. Thank you very much, Mr. Chairman. I would add that I am very proud to be a honorary graduate.

Dr. **Ryder**. We are very proud of you, Senator.

Senator **Pell**. I am very happy to be one. Can you recall any requests that you have had that you have denied to the local community because of lack of funds that if this program was funded you would be able to grant?

Dr. **Ryder**. We have attempted to respond to every reasonable request whether the funding was available or not. In the case, for example, of the school system, State funding is available because of the racial discord that has been part of Boston's history for many years, and many of the programs of help to the schools has been eased by at least a significant portion of the costs being covered by State funds.

In the case of many of the other projects, it has been entirely funded by the university. My top of the head figure is that we probably spend about $500,000 a year in projects of social value, of concern, that cannot be funded by foundations or other sources. In days of austerity, we may not be able to continue that. But we have a deep and genuine commitment to helping people. We run a summer program for sixth and seventh graders in three of the local schools. It costs in excess of $100,000 which comes out of the university's budget. But it is an attempt to hit young people at a very critical time in their mathematics skills, to give remedial background work, introduction to computers, open up vistas of the possibilities of going to college at some time, and this group of basically underprivileged kids from the nearby community, probably two-thirds black, some Hispanic, are, I think, getting a very great benefit, and it is because the university truly believes that this is the role we should follow.

We could do so much more in terms of helping the city with its transportation problems, working in areas of economic development. There is a limit to what we can do without support.

Senator **Pell**. Thank you. Thank you very much indeed.

Senator **Stafford**. Let me extend my thanks, too, Doctor.

The final panel this morning will be Dr. Matthew Schure, president, New York Institute of Technology, Old Westbury, NY, and Dr. Alan B. Know, professor, University of Wisconsin. Gentlemen, if you could come to the witness table. If that is agreeable, gentlemen, we will go, Dr. Matthew Schure, with you first and then Dr. Knox.

STATEMENTS OF DR. MATTHEW SCHURE, PRESIDENT, NEW YORK INSTITUTE OF TECHNOLOGY, OLD WESTBURY, NY; AND, DR. ALAN B. KNOX, PROFESSOR OF CONTINUING EDUCATION, UNIVERSITY OF WISCONSIN

Dr. SCHURE. Thank you, Senator. Senator Stafford and members of the subcommittee, I am grateful for the opportunity to come before you today as you consider the reauthorization of title I and advocate the recognition of technology based instruction as an important option for adult learners seeking higher education.

There is no question of the demand of adult students for continuing higher education that is great and is growing. Unfortunately, coming to campus for continuing higher education is becoming impossible for a ever larger portion of adult learners. Happily, existing technologies now offer major new answers to the problems of effective distance learning.

As a result of these answers, the New York Institute of Technology has established a distance learning division known as the American Open University of NYIT which offers courses leading to baccalaureate degrees in business, behavioral sciences, and general studies. Who are the students of the American Open University of NYIT? Here are some typical examples.

One is a customer service manager of Honeywell Information Systems who lives in Singapore. He talks with NYIT faculty using the international telenet mode. Another is an applications marketing consultant for Xerox Corp. whose home base is San Diego, CA, but whose frequent travels would make college impossible without AOU/NYIT. A third is a registered nurse from Olympia, WA, who has attended six colleges in the last 14 years and whose varied shifts previously made completion difficult. A fourth is a marine stationed in Quantico, VA, who is enthusiastic about AOU/NYIT because it provides a mechanism for continuing a college education in spite of varied hours of military assignments and the frequency of military transfers.

The major difference between NYIT's on-campus and distance learning students is that distance learners interact with faculty and other students using a computer teleconferencing system. Students study at home, and when they are ready to interact use their microcomputers and modems to dial into the mainframe computer system of the college. Students then have access to the conferences or electronic seminars.

The first of these is a faculty conference in which students submit homework assignments and ask questions of faculty members. Since the full class cannot see what takes place in the faculty conference, individual students can raise questions that they might be too embarrassed to raise in front of other students.

Students also have access to a course conference, also computer-based, in which faculty members introduce specific content areas of the course, raise questions about them, and invite discussion. A student logging into a course conference would read the instructor's comments and those of any students who have already joined the discussion. There is no established timeframe for computer teleconferencing. A student or faculty member can log into the system at any time of the day or night from any place and forward inputs.

Not only do adult students like computer teleconferencing, but many report liking it better than conventional classroom environments. In our early studies, we have found that 85 percent of the students using computer teleconferencing have completed their courses despite the fact that 75 percent of the students had no prior computer experience. This is an enormously high completion rate for the distance learning mode.

Moreover, the computer teleconferencing system can reach any member of Tech's administration staff or faculty and can therefore be used for guidance and counseling. Computer teleconferencing has even been used to help students in remote regions to locate library resources. Because off-campus students do not require the support of physical facilities, we have been able to charge distance learners less per credit than on-campus learners, thereby increasing access to opportunity.

What can Congress do in the higher education reauthorization legislation that will allow students to benefit from computer teleconferencing? I urge the following:

No. 1: Higher education students studying via computer teleconferencing and other telecommunications media, such as television courses, should be allowed the same access to Federal loans and grants as students who study using other methodologies providing they meet the prescribed minimum credit requirements.

No. 2: Greater access to Federal loans and grants should be made available to parttime learners. The nature of the constraints facing adult students who study at home are such that these students are unlikely to be able to pursue full-time instructional loads.

No. 3: Because computer teleconferencing is a new medium of instruction, questions about the eligibility of this delivery system for Federal funding are often raised. Hence, reauthorization legislation could call for dissemination mechanisms to acquaint current and potential adult learners of opportunities for student assistance while studying through the computer teleconferencing medium, and

No. 4: Reauthorization legislation should encourage through matching funds the purchase of microcomputers by library and school networks so that disadvantaged students can have access to this major new learning tool that they cannot individually afford.

I am grateful for the opportunity to share these recommendations with you, recommendations which I hope will result in discussion of an important new dimension for American higher education and its growing constituency of distant learners.

[The prepared statement of Dr. Schure and responses to questions submitted by Senator Hatch follow:]

SENATE SUBCOMMITTEE ON EDUCATION, ARTS AND HUMANITIES
REAUTHORIZATION OF THE HIGHER EDUCATION ACT

September 26, 1985

Senator Stafford, members of the Subcommittee:

My name is Matthew Schure, president of the New York Institute of Technology. I am grateful for the opportunity to come before you today to advocate the recognition of technology-based instruction as an important option for adult learners seeking higher education.

There is no question that the demand of adult students for continuing higher education is great and is growing. Forty-one percent of the student body on college and university campuses is now estimated to be older learners, compared to 38% five years ago and 28% in 1970. Statistics compiled by the New York State Education Department show that there were 400 continuing education programs in the State in 1984. 745,865 students spent 23,016,914 hours taking 42,337 different courses. The programs employed 18,735 individuals, and their budgets totalled $66.3 million.

The onset of the Information Age has exploded the demand for continuing higher education. Professional skills degrade at a rate which is proportional to the rate of change in the technologies that require those skills. As new technologies evolve faster and faster, the period of time in which our formal education remains useful to our work becomes smaller and smaller. When I was a college student, engineering students were learning on slide rules. A few years later, they were using calculators. Today, they are using all kinds of increasingly sophisticated microcomputers with capabilities only dreamed of less than a decade ago. The impact of evolving technology is being felt across all academic disciplines. It is most easily witnessed in relation to the sciences, but is changing the nature of academic study in virtually every field. Students use word processing programs and microcomputers in order to learn English composition. Students studying the Fine Arts now have an opportunity to explore new horizons on special computers designed for computer graphics generation. Music students are exploring the new joys of digital sound, where they are actually compositing the sounds of old and new instruments. And access to new computer data bases and modes of inquiry are expanding the horizons of History, Economics, Business, Philosophy, Political Science, Psychology, Medicine, Law as well as a host of other disciplines.

Hence, if United States industries are to maintain a competitive edge among nations experiencing equally rapid proliferation of new technology, the rate at which we educate and reeducate our highly-skilled labor force will need to increase significantly.

Unfortunately, coming to campus for continuing higher education is becoming impossible for an ever larger portion of adult learners. Tuitions at America's colleges and universities have continued to outpace the general rate of inflation. In addition, the number of single parent households in the United States continues to increase so dramatically that sociologists are predicting majority status by the turn of the century for children from these households. As a result, the burden of child care is increasingly adding to the tuitional burden for prospective adult learners. Workers such as nurses and police officers who experience constant shift changes, cannot commit to coming to campus for classes at a set day and time each week. Hence, institutional barriers of residency requirements and on-campus class schedules frustrate and discourage many working adults. This is particularly true for single heads of households from traditionally disadvantaged groups, people for whom the benefits of higher education would be particularly great.

Past responses to students who could not come to campus to learn took the form of correspondence instruction, with students studying at home and mailing homework assignments to a college campus. But correspondence instruction has often yielded high rates of attrition, because the lag time between submission and response is so great that students lose interest in course material and lose affiliation with their home college. The result has been that 70% attrition rates in traditional correspondence programs are not unusual.

Happily, existing technologies now offer major new answers to the problems of effective distance learning. As a result of these answers, New York Institute of Technology has established a distance learning division known as the American Open University of NYIT. AOU/NYIT offers courses leading to baccalaureate degrees in Business, Behavioral Sciences and General Studies. Who are the students of the American Open University of New York Institute of Technology? Here are some typical examples. One is a customer service manager of Honeywell Information Systems, living in Singapore. He talks with NYIT faculty using the international telenet node. Another is an applications marketing consultant for Xerox Corporation whose home base is San Diego, California, but whose frequent travels would make college impossible without AOU/NYIT. A third is a registered nurse from Olympia, Washington, who has attended six colleges in the last fourteen years, and whose varied shifts make college completion difficult without AOU/NYIT. And a fourth is a Marine stationed in Quantico, Virginia, who is enthusiastic about AOU/NYIT because it provides a mechanism for continuing a college education in spite of varied hours of military assignments and the frequency of military transfers.

All facets of the admissions, academic advisement, credit award processes, and all aspects of the instructional process are overseen by, approved, and conducted by full-time staff and full-time faculty of the New York Institute of Technology. Distance learning students at the New York Institute of Technology are the same as other NYIT students in almost all respects: like other students, they submit homework assignments and papers, take midterm examinations, and interact with faculty.

There are two differences between our distance learning program and our campus-based instructional program. The first is that the distance learning program is competency based: faculty award of credit is based solely on passage of a competency-based examination administered at the conclusion of each course. The second difference is that students can interact with faculty and other students using a computer teleconferencing system. Students study at home, and when they are ready to interact, use their microcomputers and modems to dial into the main frame computer system of the college. Students then have access to two types of conferences or electronic seminars. The first is a faculty conference, in which students submit homework assignments, and ask questions of faculty members. Since the full class cannot see what takes place in the faculty conference, individual students can raise questions that they might be too embarrassed to raise in front of other students. Students also have access to a course conference--also computer based--in which faculty members introduce specific content areas of a course, raise questions about them and invite discussion. A student logging into a course conference will read the instructor's comments and those of any students who have already joined the discussion.

There is no established time frame for computer teleconferencing. A student or faculty member can log into the system at any time of the day or night from any place, and forward inputs. Because faculty members are on the computer system frequently, feedback is much more immediate than in traditional correspondence instruction. Not only do adult students like computer teleconferencing, but many report liking it better than conventional classroom environments. This is partly true because many adult students have avoided returning to the college classroom out of a fear of failure. They find their individual conferences with faculty by computer to be enormously supportive, and often state that the level of interaction with faculty through computer teleconferencing is far greater than the level of interaction that takes place through a conventional class. In our early studies, we have found that 85% of the students using computer teleconferencing have completed their courses despite the fact that 75% of these students had no prior computer experience.

The teleconferencing system developed at NYIT has been so successful that the EXXON Foundation has funded a nationwide conference of college teachers of English on the system. These faculty confer with one another using the computer in the same way as our faculty and students. The purpose of this conference is to explore ways in which the new technologies can be utilized in order to improve the teaching of English. In addition, the New York Institute of Technology and the Center for Learning Technologies of the New York State Education Department are submitting a grant to the Carnegie Foundation to support a statewide conference of mathematics and science secondary school teachers aimed at finding new ways to enhance the quality of mathematics and science teachings in our State's high schools. There is no question that the broad-based cultural acceptance of computer teleconferencing as a medium for the exchange of ideas is coming of age.

Moreover, the computer teleconferencing system can reach any member of Tech's administration, staff or faculty, and can therefore be used for noninstructional purposes. Students living at a distance from the campus who have questions for the Registrar's office or Bursar's office can raise them by computer. Students who have problems requiring emotional or career counselling, can access those staff members trained to deal with those issues. Computer teleconferencing has even been used to help students in remote regions to locate library resources. New graphics and simulation capabilities now being designed will make it possible for students to study from home subjects like chemistry that previously required on-campus attendance. Because off-campus students do not require the support of physical facilities, we have been able to charge distance learners less per credit than on-campus learners, thereby increasing access to opportunity.

The key question is therefore: What can Congress do in the Higher Education Reauthorization legislation that will allow students to benefit from computer teleconferencing?

1. Higher education students studying via computer teleconferencing and other telecommunications media such as television courses, should be allowed the same access to Federal loans and grants as students who study using other methodologies, providing they meet the prescribed minimum credit requirements.

2. Greater access to Federal loans and grants should be made available to part-time learners. The nature of the constraints facing adult students who study at home are such that these students are unlikely to be able to pursue full-time instructional loads.

3. Independent students with dependents should be accorded the same allowances as families with dependent students in determining the proportion of discretionary income that should be paid toward the pursuit of higher education. The adult learner who is likely to avail herself or himself of higher learning opportunities through telecomunications is a learner for whom the cost of tuition is of paramount significance. Too heavy an expectation for personal contribution may nullify the opportunity for continued study.

4. Because computer teleconferencing is the new medium of instruction, questions about the eligibility of this delivery system for Federal funding are often raised. Hence, reauthorization legislation should call for dissemination mechanisms to acquaint current and potential adult learners with opportunities for student assistance while studying through the computer teleconferencing medium.

5. Reauthorization legislation should encourage, through matching funds, the purchase of microcomputers by library and school networks, so that disadvantaged students can have access to this major new learning tool that they cannot individually afford.

6. My comments have addressed some of the reasons why the number of students involved in continuing higher education is not larger. I have mentioned tuition, family and time conflicts, and fear of failure. There is an additional problem: Many potential adult learners have had substantial college level learning experiences outside the realm of traditional college environment. They may have had courses in the military. They may have taken continuing education courses at their place of work, courses that have been recommended for college credit through such agencies as the American Council of Education, or the Office of Noncollegiate-Sponsored Instruction of New York State Education Department. Adult students may have had prior learning through which they possess competencies equivalent to those learned in college courses. But most adult students have no way of weaving these materials into the fabric of a coherent degree framework. They have no way of knowing how they can combine these experiences to put the students farthest ahead on their route towards a college degree. Computer teleconferencing offers the capability for a new

national advisement network, a network on which one can access listings of the nation's colleges and universities and their credit-granting policies, and can then access on-line those colleges with policies and programs of studies closest to the student's aspiration in order to obtain completed degree maps. This national on-line advisement program would, in my view, greatly increase the probability of return to college for large numbers of adults with diverse and meaningful experiences who currently receive insufficient guidance. Congress should encourage its creation.

I am grateful for the opportunity to share these recommendations with you, recommendations which I hope will result in an important new dimension for American higher education and for its growing constituency of adult learners.

dp

New York Institute of Technology / Old Westbury, New York 11568 / (516) 686-7650
Office of the President

October 9, 1985

The Honorable Orrin G. Hatch
United States Senate
The Subcommittee on Education,
Arts and Humanities
SD-428 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Senator Hatch:

I deeply appreciated the opportunity to share my thoughts with the Subcommittee on Education, Arts and Humanities. Thank you for your deep interest in these important matters.

My response to the concerns raised in your recent correspondence are as follows:

1. The proper division of responsibility between student, parents or other family, educational institution, the private sector, and government in financing post-secondary education:

   Primary responsibility for financing post-secondary education should rest with the student and his parents (or spouse if applicable). When it has been determined how much the family should be able to contribute and there is remaining need, the various government agency dollars should be reviewed next. After the government's contribution has been applied, the institution's own funds or funds it controls for others should be applied.

2. The proper balance between loans, grants, and work in financial aid packages in order to ensure a student's maximization of his education:

   Grants, ideally, should make up about 50% of the student's package, followed by 30% in loans and 20% in work. College students today, carrying a full load of classes, should not be expected to earn a major portion of their funds during the school year.

3. Whether or not more resources for financial aid should be channeled to institutions for disbursement through them to students and why:

   Any resources for financial aid should be channeled through institutions so that tight control can be maintained to avoid financing students beyond their computed need.

4. Whether or not, and how, greater concern with a student's educational achievement levels should be made a part of criteria for financial aid:

   At this time, government standards of academic progress are rigid as they stand. There should be no need to change or increase these standards.

I hope this information is helpful.

Sincerely,

Matthew Schure

dp

Senator **Stafford**. Thank you very much, Dr. Schure. You certainly got a lot in in 5 minutes. Dr. Knox.

Dr. **Knox**. Thank you, Mr. Chairman and Senator Pell. I appreciate this opportunity to speak in support of reauthoriztaion of title I. During more than 30 years in continuing education, I have witnessed great benefits from educational programs for adults of the type title I aims to strengthen.

I urge proposed revisions so that title I provides direct grants to postsecondary institutions to stimulate innovative and collaborative continuing education delivery systems and adult learner services. This constitutes a realistic effort in which a minimal Federal investment is likely to yield a maximal return in the form of individual and societal benefits.

We all understand the necessity for continual reeducation and training of all still levels and of our work force so that productivity in current jobs and creation of new jobs keeps us competitive internationally. There is less understanding of equally important continuing education for other adult roles as citizens and family members. In addition to enriching the quality of life, such programs enable citizens to engage in community problem solving upon which our democratic society depends.

Starting 20 years ago title I efforts have stimulated postsecondary institutions to work with community groups, to initiate continuing education programs for community problem solving, many of which would not have occurred but for title I impetus.

Part of the reason is the multiplier effect of collaboration. Members of the American Association for Adult and Continuing Education, of which I am the current president, conduct educational programs for adults on behalf of all types of organizations. A benefit of this association is that members meet and cooperate with counterparts from other types of providers, people connected with community colleges working with labor educators, people associated with the training departments of employers working with people in universities, people associated with school systems' adult education programs working with people in voluntary associations.

Title I also promotes such collaboration and resource sharing. Title I emphasis on counseling and information services for adult learners helps interested adults discover and use this wide variety of continuing education opportunities.

A further strength of title I is its multiplier effect, by initiating new ideas, delivery systems, and adult learner serices through matching resources which increase as title I funds are phased out, as the new program becomes established. President Schure has just described innovative use of technology for continuing education.

Large societal returns on small title I investments also occur from targeted research and evaluation projects and in-service staff development of continuing education instructors and administrators. We have learned ways to increase this multiplier effect in the continuation of programs initiated with title I funding. All of these desirable features of title I programs are not ends in and of themselves, however. The justification for Federal support of title I projects depends on the resulting benefits to individuals and society.

Here are some examples of past and potential outcomes initiated with title I assistance programs: universities, community colleges, and urban neighborhood organizations establishing career assistance centers aimed at unemployed, minority young adults to provide career guidance, remedial education, and job finding assistance; university extension staff and local community leaders establishing distance education programs to serve sparsely populated sections of the State by use of educational telephone networks, video tapes, correspondence study, and computers; liberal arts college professors and students working with a home for retarded adults to establish a work-study program; universities and government agencies in economically depressed sections of the State providing educational assistance to local citizens and government officials which enables one community to solve its water supply problem, another to improve its schools, a third to strengthen rural health care and referrals, and a fourth both to attract new industry and provide assistance to struggling, small businesses. The examples by President Ryder address this latter point.

Title I support provides seed money to stimulate priority setting, sharing, and assistance. The multiplier effect results from initiating and publicizing demonstration projects and targeted support for research, evaluation, and staff development for continuing education faculty and administrators. Postsecondary institutions are ideally suited for this collaborative role, which also increases the relevance of their teaching and research.

The need for targeted national leadership on behalf of continuing higher education has never been greater. Recent publications on leadership to help revitalize America emphasize the crucial contribution of continuing education. A revised title I can provide a realistic, minimal spearhead for such Federal leadership.

In conclusion, I urge reauthorization of title I with emphasis on the following features: encouraging all types of postsecondary providers to cooperate for innovating and strengthening continuing education, emphasizing continuing education for economic revitalization and public responsibility, providing seed money to stimulate innovation and sharing, supporting collaboration and resource sharing to achieve a multiplier effect, including information and guidance services to increase access by adult learners, and finally, strengthening support of research, evaluation, and staff development of continuing education of teachers and administrators who undergird the foregoing features. Thank you.

[The prepared statement of Dr. Knox follows:]

STATEMENT OF

ALAN B. KNOX
PROFESSOR OF CONTINUING EDUCATION
UNIVERSITY OF WISCONSIN

and

PRESIDENT
AMERICAN ASSOCIATION FOR ADULT AND CONTINUING EDUCATION

on

REAUTHORIZATION OF TITLE I, HIGHER EDUCATION ACT OF 1965, AS AMENDED

SUB COMMITTEE ON EDUCATION
ARTS AND HUMANITIES
U.S. SENATE
WASHINGTON, D.C.

September 26, 1985

I appreciate this opportunity to speak in support of reauthorization of Title I of the Higher Education Act of 1965 as amended. During more than thirty years as a continuing education teacher, administrator, and professor in New York, Nebraska, Illinois, and Wisconsin I worked with educational programs for adults of the type Title I aims to strengthen, and have witnessed great benefits.

My main point is that proposed revision of Title I to provide direct grants to post secondary institutions to stimulate innovative collaborative continuing education delivery systems and adult learner services, constitutes a realistic effort in which a minimal Federal investment is likely to yield a maximal return in the form of individual and societal benefits, especially economic revitalization. Following my comments, I welcome your questions.

Most of you are aware that adult learners who attend short term credit or non-credit programs or enroll part-time in the evening or at off campus locations constitute the new majority in post-secondary education. However, higher education outreach and extension has a long tradition. In my own state prior to World War I, Governor Robert LaFollette and University President Charles Van Hise advanced the Wisconsin Idea as a partnership to help men and women from all walks of life throughout the state to deal with social, political, and economic issues. This year a state Commission on the Wisconsin Idea for the 21st Century has concluded that the boundaries of the campus extend far beyond the boundaries of the state, into the nation and the world.

Long standing commitments of continuing education to equity and access, as reflected in outreach programs for minorities and economically less advantaged adults, are becoming more national and international. Events around the world dramatically affect Wisconsin farmers, manufacturers, and almost everyone else, so that outreach activities include languages and world affairs as well as agriculture and engineering. Title I can stimulate innovation and sharing in the coming years when we appear to be facing an unprecedented challenge to development of the human resources of this country.

We all understand the necessity for continual reeducation and training of all skill levels in our work force, so that productivity in current jobs and creation of new jobs keeps us competitive internationally. Furthermore, in an earlier era in which the focus was on absorbing young people into the work force to then do the same type of work throughout their career. We are now moving to an era in which most of the work force of 5 or 10 years from now is already in today's work force and they will require continuing reeducation to remain productive as they adjust to four or five major career changes that result from rapid social and technological change.

There is less understanding of equally important continuing education for other adult roles as citizens and family members. In addition to enriching the quality of life, such programs enable citizens to engage in community problem solving upon which our democratic society depends. For twenty years, Title I efforts have stimulated post-secondary institutions to work with community groups to initiate continuing education programs for community problem solving, many of which would not have occurred but for title I impetus. Part of the reason is the multiplier effect of collaboration.

I currently serve as President of the American Association for Adult and Continuing Education, whose members conduct educational programs for adults for all types of organizations (schools, colleges, universities, libraries, museums, employers, labor unions, penal institutions, professional associations, religious institutions, military, community agencies, hospitals, and all types of voluntary associations). A benefit of this association is that members meet and cooperate with counterparts from other types of providers. Title I also promotes such collaboration and resource sharing, such as when a university develops materials or provides staff development for public school adult basic education, or a community college conducts a retraining program with employers and labor unions. Title I emphasis on counseling and information services for adult learners, helps them discover and use this wide variety of continuing education providers.

A further strength of Title I, is its multiplier effect by initiating new ideas, delivery systems, and adult learner services through matching resources which increase as Title I funds are phased out as a new program becomes established. Large societal returns on small Title I investments also occur from targeted research and evaluation projects, and inservice staff development of continuing education instructors and administrators. We have learned ways to increase this multiplier effect and the continuation of programs initiated with Title I funding, as a result of national studies such as the one Jim Farmer and I conducted on alternative patterns for strengthening Title I projects (Farmer and Knox, 1977), and the Lindquist and Associates (1983) study on sharing good practice from programs assisted by the Fund for the Improvement of Post Secondary Education.

One way to help keep Title I focused on societal benefits is with an effective National Advisory Council in which a majority of the members are closely associated with continuing higher education, and which cooperates with related advisory councils concerned with vocational education and adult education.

All of these desirable features of a Title I program are not ends in and of themselves, however. The justification for Federal support of Title I projects depends on the resultant benefits to individuals and society. Because educational programs for adults are very pluralistic and decentralized, Federal leadership through Title I can make a distinctive contribution to increasing such benefits.

Here are some examples of past and potential outcomes initiated with Title I assistance programs.

1. Private university faculty members and student interns assist public community college continuing education staff members to work with local organizations in low income urban neighborhoods to establish career assistance centers aimed at unemployed minority young adults. Cooperative support of such ongoing centers increases greatly the number of less advantaged young people who receive career guidance, remedial education, and job finding assistance to enhance their proficiencies and become employed.
2. Land Grant university extension staff members work with local community leaders to establish distance education programs to serve sparsely populated sections of the state by use of educational telephone networks, videotapes, and correspondence study. The resulting continuing education programs serve both farm families with topics aimed to help their farm business survive, and professionals such as dentists, attorneys, pharmacists, and bankers with topics on new developments in their fields to enable them to better serve local residents.
3. Professors and students from fields such as social work, community psychology, sociology, and education in a liberal arts college respond to a request from a nearby home for retarded adults (and subsequently interested community agencies) by jointly initiating a Title I project which includes a work study program for retarded adults. The program continued and expanded far beyond the initial funding period, because of

faculty and student practicum contributions combined with volunteer help, facilities and financial assistance from community agencies.

4. The state university in concert with state agencies and community colleges in an economically depressed section of the state, assist local citizens and government officials with solution of community problems of high priority to them. As a result, one community solved its water supply problem, another improved its schools, a third strengthened rural health care and referrals, and a fourth both attracted new industry and provided assistance to struggling small businesses.

The distinctive Federal contribution to strengthening post secondary continuing education and public service activities for American men and women reflects the pluralism of continuing education provision and the national interest in accelerating human resource development. Parallel to multiple local providers of educational programs for adults, most Federal departments support such programs. Examples include Cooperative Extension Service in the Department of Agriculture, Job Training Partnership in the Department of Labor, education and training of military personnel in the Department of Defense, and Adult Basic Education in the Department of Education. Other examples abound such as environmental protection, arts and humanities, health professions, Native Americans, library services, refugees, and energy conservation. Title I support provides seed money to stimulate priority setting, sharing, and assistance (Knox, 1975, 1982). The multiplier effect results from initiating and publicizing demonstration projects, and targeted support for research, evaluation, and staff development for continuing education faculty and administrators. Post secondary institutions are ideally suited for this collaborative role, which also increases the relevance of their teaching and research. Federal leadership through Title I is essential because the national interest requires strengthening and cooperation on behalf of lifelong learning of adults. Resultant educational programs are responsive to local priorities and if useful tend to continue with local support.

The need for targeted national leadership on behalf of continuing higher education has never been greater. Recent publications on leadership to understand emerging trends and help revitalize America, emphasize the crucial contribution of continuing education (Naisbitt, 1982; Peters and Waterman, 1982; Etzioni, 1983; Perelman, 1984; Niebuhr, 1984; Odiorne, 1984). A revised Title I can provide a realistic minimal spearhead for such Federal leadership.

In conclusion, I urge reauthorization of Title I, with emphasis on the following features:

1. Encouraging all types of post-secondary providers to cooperate for innovating and strengthening continuing education.
2. Emphasizing continuing education for economic revitalization and public responsibility.
3. Providing seed money to stimulate innovation and sharing.
4. Supporting collaboration and resource sharing to achieve a multiplier effect.
5. Including information and guidance services to increase access by adult leaners.
6. Strengthening support of research, evaluation, and staff development of continuing education teachers and administrators to undergird the foregoing features.

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Senator **Pell** [presiding]. Thank you very much indeed, Professor Knox. I have a few questions. The chairman had to depart, but he asked that the record be kept open. In this regard, can you foresee a time when instruction from local universities will be made available through cable network channels, things of that sort? Would you advocate moving in that direction?

Dr. **Knox.** Yes; I do, and I can foresee such a time; in some instances, some of the programming that is occurring through local public television stations, some of which are connected with universities, is very similar to what you described through cable networks.

Senator **Pell**. Dr. Schure.

Dr. **Schure**. I would agree. In fact, more and more of this is happening as cable stations are approaching local colleges and universities and actually are asking for programming to meet the educational needs of their constituencies.

Senator **Pell**. Now, has the enrollment of adults increased steadily over the past few years? Has it been a steady graph, or has it been irregular? Also, are these adult students in need of financial help do you find? Dr. Schure.

Dr. **Schure**. There certainly has been an increase in the number of adult students, but there has been a concomitant increase in the number of adults who aspire to education and who are unable to avail themselves of it by virtue of lack of appropriate financial resources. The financial aid legislation has been written to be oriented toward full-time, 18- to 22-year-old students. Part-time adult learners have a much more difficult time financing their college educations.

Dr. **Knox**. That trend goes back to the turn of the century. The best indications we have, both as an absolute number and a percentage of the total population, is that there has been a steady increase. And even during the Depression period and World War II, that steady increase has continued so that the projections of the probability on through the next decade or so are based not just upon a flurry in the last decade or so, but something that has been going on for 80 years or longer.

Senator **Pell**. Now, from the viewpoint of a qualitative question, Do you find that the adults generally speaking take more prosaic and job-related courses or do they go more into the liberal arts?

Dr. **Knox**. I would distinguish the courses that adults take for credit and degrees as part-time students. Their enrollments are relevant to questions of financial assistance, because these adults now constitute about 40 percent of the total student body in higher education in this country. By contrast there is the much larger number of adults who are engaged in all sorts of noncredit educational programs provided by higher education institution for which they do not receive Federal financial aid. If you include both of them, which seems to me very important to do, the richness and diversity of offerings that in terms of job-related, citizen role, working with youth groups, family life, and so on, is very impressive.

So especially the noncredit programs include far more than the usual job-related courses, they cover topics related to a wide range of adult roles as workers, family members, citizens, members of organizations, and the like.

Senator **Pell**. Let me put it another way: Do you find there are more or less liberal arts courses taken by youngsters or more or less liberal arts courses taken by the adults?

Dr. **Knox**. I cannot make that comparison for just the full-time college students versus the part-time adult college student. But for the noncredit programs, particularly for adults who are in their late forties and beyond, the interest in nonjob-related educational programs, liberal arts courses, and so on, increases enormously. The proportion of adults over 35 who are continuing their education, who are interested in nonoccupational matters increases greatly with age.

Dr. **Schure**. Our experience has been that first-time returning students are concerned with career orientation and come primarily because they search for career mobility, but that often upon graduation those students come back having experienced a sense of loss at not having taken more liberal arts and come back for the purpose of educational enrichment.

Dr. **Knox**. One evidence of that is about 25 or 30 universities in this country for some years have had special degree programs for adults, associate degrees, bachelor's degrees, and master's degrees in liberal studies. And the enrollments in those programs have been steady and high and the average age of those adults tend to be people in their forties rather than people in their twenties.

Senator **Pell**. Thank you. I thank you, Dr. Schure. Thank you, Dr. Knox for being with us.

[Additional material supplied for the record follows:]

NATIONAL ASSOCIATION OF
PUBLIC·TELEVISION·STATIONS
SUITE 410 1818 N STREET NW WASHINGTON, DC 20036 (202) 887-1700

September 30, 1985

The Honorable Robert Stafford
Chairman
Subcommittee on Education, Arts
and The Humanities
United States Senate
Washington, D.C. 20510

Dear Mr. Chairman:

As you and your Committee consider new legislation to support post-secondary education, I want to report on public television's experience in this field. The enclosed statement from Dr. Dee Brock discusses this exciting and compelling experience in detail. We would like to submit this letter and Dr. Brock's statement for the record of your Subcommittee as you consider the legislation. We appreciate the opportunity to present these views.

Institutional and personal use of telecommunications technologies for instruction in the broad, post-secondary environment is expected to grow rapidly in the 1986-1991 period. Existing higher and other post-secondary institutions, as well as new institutions designed to exploit the use of telecommunications in their instruction, are expected to expand to take advantage of new technological capacities, which until now had not seemed cost-effective or were not available in the market. But technology can now deliver, with reliability, high quality instruction to a variety of institutional, workplace or home situations with equal effectiveness. Some educational materials are being developed for such use, and we believe the federal government can make a very productive investment in this area. The new post-secondary education legislation will need to be adapted, however, to meet these changing circumstances.

We believe there are two key considerations for any new legislation, and we urge their inclusion:

1. Students utilizing telecommunications technologies should be allowed to obtain the same federal aid loans or grants as students using more conventional classroom instruction methods. Now that technology can often cover geography and circumstance, this form of cost-effective access to continuing education makes sense. It is also reasonable to

assume that legislative and administrative use of the related, qualified institutions as monitors of appropriate practices is as valid for telecommunications instruction as it is for classroom instruction.

2. The authority must be provided to permit aggregation of sufficient funds to produce high-quality teaching materials for large-scale use, e.g. regional or nationwide. Permitting interstate combined efforts, and providing for some large-scale national grants, are appropriate means to aggregate these funds. This would be in keeping with the development of new practices in curriculum design and state standards which are appearing now to take advantage of opportunities made possible by telecommunications technologies in education.

Thank you for your efforts to make the new legislation a productive, cooperative effort with educators everywhere. We would be pleased to answer any questions you or your staff may have.

Sincerely,

Peter M. Fannon

Peter M. Fannon
President

Enclosure

cc: The Honorable Claiborne Pell
Ms. Polly L. Gault, Office of Senator Robert Stafford
Mr. David V. Evans, Office of Senator Claiborne Pell

STATEMENT OF

Dee Brock
Vice President

PUBLIC BROADCASTING SERVICE

on

THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT

BEFORE THE

SUBCOMMITTEE ON

EDUCATION, ARTS AND THE HUMANITIES

OF THE

COMMITTEE ON LABOR AND HUMAN RESOURCES

UNITED STATES SENATE

September 26, 1985

Thank you for the opportunity to speak on behalf of the use of telecommunications for adult learning. Since telecommunications have wrought such dramatic changes in our society and in our economy and continue to change our lives with ever-increasing speed, it is only fitting that they be used just as efficiently and as pervasively to make educational opportunities available to all citizens. Indeed, it is possible that telecommunications is the only way that our nation can make education available to all adults at all levels and in all areas of educational need in ways that are instructionally sound, cost-effective, and conveniently accessible. Because telecommunications technology can deliver education to adults in their homes, on their jobs, and in their community centers, it could enable all motivated and capable adults to earn college degrees; teachers and other professionals to keep up-to-date in their specialties; workers to learn to be more productive in their current jobs or retrain for entirely different jobs as our economy increasingly requires; every American to be at least functionally literate; thus, it could make the dream of life-long, continuous education a reality.

After years of dreams and experimentation by visionaries and practioners, the use of education and training via telecommunications has achieved a level of excellence that makes it possible for it to achieve a place in the mainstream of postsecondary education. Literally hundreds of research studies demonstrate that telecommunications is an effective way to reach and teach students. Further, students find telecommunications a satisfying and convenient way to learn as the the growing number of enrollees attest.

Who are the students who need and use telecommunications now to achieve their educational goals? Let me speak primarily about students taking college credit courses by television, because as Vice President of Adult Learning for the Public Broadcasting Service (PBS), I know this use of telecommunications best. Further, television is used by more institutions of higher education and by more college students for full college courses than any of the other telecommunications technologies. Also, since receiving your invitation to address this committee, I have checked with many educators and students in many states, and it is in broadcast and nonbroadcast television and in computers used for instructional purposes that they see the greatest potential for the future of adult learning via telecommunications.

In fall, 1981, PBS launched the Adult Learning Service, a major new initiative in higher education and telecommunications. This service delivers quality college credit television courses via satellite to local partnerships of public television stations and the colleges and universities in their communities. These partnerships then deliver the courses to local students, primarily over open circuit broadcastchannels. The result is that in just four years over 900 colleges in collaboration on with 280 public television stations have offered over 10,000 class sections of PBS Adult Learning Service television courses, and almost a third of a million students have enrolled in those courses to earn college credit.

Demographic studies by representative institutions among participants in the PBS Adult Learning Service, as well as a national study conducted by the Instructional Television Consortium, a group of community colleges, last year, tell the same story over and over again. Students enrolled in television courses are largely older than so-called traditional students, with the biggest cohort between the ages of twenty-five and forty. Most of these students are workers. Some sixty percent hold down full-time jobs outside their homes; some thirty percent work part-time outside their homes. Most of the rest are housewives, whom we all know work full-time inside their homes. Somewhat over half of these students are women. Almost all of them, men and women, have family responsibilities to fulfill, along with their jobs. Indeed, these students are hard-working and ambitious adults, looking to education and training to help them get a promotion or a raise, to keep up to date in their fields, to retrain for new careers. Often students are enrolled in both on-campus and television courses at the same time. However, some sixty percent of the television students say they would not have enrolled in the course if it had not been available by television. It is important to note that to students the method of instructional delivery is secondary to their two primary demands: quality and convenience. For many busy adults, college courses delivered directly to their homes and/or worksites are the only ways these needs can be met.

But the truth about these students is told not in numbers and averages, but in real stories, for these students are real people living in every state of this union.

o Effie Pack of Moorefield, Kentucky, a wife and a mother of three teenagers, is employed with the Head Start program in her hometown. Because of her busy life, Effie appreciates the convenience of television courses via KET, for they allow her to learn in her own home. She says television courses have helped her grow personally and professionally--and they have already earned her a raise.

o Lynnanne Eddington of Denver, Colorado, had to drop out of her on-campus courses when her new baby arrived, but she did not want to drop out of college. Television courses broadcast over KRMA/TV on behalf of Metropolitan State University allow her to continue to work without interruption toward her degree while she cares for her growing family. When her children are older, she will be prepared to begin the career of her choice.

o Merilla Konitzer of Abrimes, Wisconsin, got her chance to begin college because of television. Although she had dropped out of high school years before, Merilla, like thousands of others in Wisconsin and across the nation, completed the GED television course offered on her local public television station and thus passed her examination for her high school equivalency diploma. As a result, Merilla is now working toward a college degree at Northeast Wisconsin Technical Institute. Indeed, because of her enthusiasm about learning via television, all of her family has joined her in viewing lessons, and her son Randy has also enrolled in a television course.

- When Dave Mercer, an instructor at The Pennsylvania State University, asked his students to comment on the value of the political science television course he was teaching, he was greatly impressed by the thoughtfulness and the importance of the replies. He calls the following response typical: "I was apolitical until I took CONGRESS: WE THE PEOPLE. After this class, I learned how to distill important facts before putting my voting power to work."

- Anna Jones, a sixty year old early retiree in Chicago, Illinois, decided she had a lot of good years left in which to make a contribution to her community, and television courses opened the way for her to learn a new field. She is enrolled in THE WRITE COURSE, an introduction to composition course offered by Wright College of the City Colleges of Chicago and broadcast over public television station WYCC/TV and hopes to become a teacher or tutor for students with special needs.

- Fernando Gonzalez, a surgical nurse in Dallas, Texas, finds it impossible to attend on-campus classes because of his erratic work schedule. With telecourses, however, he never misses a call from his work, nor does he miss out on finishing his education. Despite his demanding job, he does not worry about missing lessons, for El Centro College tapes the programs, and Fernando can replay them at his convenience.

Several years ago when I taught college courses via television, my student roster included hundreds of students like these. Indeed, the ranks of television courses are full of people whose life styles require a new delivery system if they are to progress as quickly as they wish; with people who feel apprehension at entering college classrooms after years away from schools; with people who have spent their work lives in one job, only to find in their middle years that the job has been phased out; with people whose home responsibilities make going to campus regularly a difficult or impossible task; with people who look to learning to keep them vigorous and active. For growing numbers of students, courses offered via telecommunications can provide the quality and the convenience they need. Yet among the same groups are students who need, but cannot afford postsecondary education without the financial assistance from which current legislation bars them.

What, then, can Congress do in the higher education reauthorization legislation to insure that all students who need to or wish to do so can benefit educationally from telecommunications? There are two basic answers to that question: (1) remove barriers to financial assistance to students who are learning via telecommunications; (2) provide support for further development of postsecondary education via telecommunications.

1. Financial barriers to telecommunications as a delivery mode for college courses should be removed from the new legislation.

    o Students learning via telecommunications should receive the same consideration for federal loans and grants as students learning via other methods, regardless of the number of credit hours earned through any particular instructional mode. There is no persuasive research to associate a lack of instructional integrity with learning delivered via telecommunications, and there is a longstanding and valuable tradition to leave to institutions of higher education the freedom to use any instructional methodology they choose so long as they meet the standards of their state higher education authorities, their regional accrediting agencies, and their own boards and faculties. Thus, students should be eligible for federal loans and grants based on their needs, rather than on the technology used to deliver their education.

o Parttime students, regardless of the number of hours for which they enroll each term, should have equal access to all federal loans and Most students who learn via telecommunications are parttime students. Because of job and home responsibilities, many can spare the time to work on only one or two courses during any academic term. However, their restricted hours of study do not reflect a lackadasical attitude toward learning; on the contrary, these students are determined to continue their education despite their busy schedules, and they should be encouraged, rather than penalized, for their ambitions.

o The new legislation should include a fully-funded reaffirmation that independent students with dependents should pay the same amount, but no more, of their discretionary income toward the cost of their education than that of families with dependent students. Many telecommunications students learning viatelecommunications are single parents, and despite the strain of full responsibility for themselves and their children, they diligently try to continue their education. Their persistence and aspirations should be encouraged rather than penalized.

- Current and prospective students should be informed that financial assistance is equally available to less than full-time students and to students learning via telecommunications as to any others.

2. Congress should provide support for the development of postsecondary education telecommunications curricula and systems.

While the jurisdiction for education clearly resides in each state, it is also evident that local postsecondary interests can often be best served by national initiatives and support. In no area is this statement more true than in the arena of telecommunications. Today's nationally distributed television courses pull together from across the country and even from around the world the best scholars, practioners, instructional designers, and production teams available to create the courses. Television courses take students to the real places where events happen and introduce them to the real people who are involved or most knowledgeable. Television courses give every student a front row seat and engage not only their intellect but their senses and emotions as well. Of course, these courses are more than just television series, they are fully integrated learning systems complete with a full complement of textbooks, guides and other learning materials. Typical examples from this slowly growing catalog of superior courses include:

- THE BRAIN, produced by WNET/TV, New York, features the very latest scientific knowledge about that most mysterious and wonderful organ the human brain and serves as an introductory level course in both psychology and biology departments.

- THE BUSINESS FILE, produced by Dallas County Community College District, not only describes the way American business world functions, but also takes students inside large and small firms to learn from those who operate businesses, as well as from those who study them.

- CONGRESS: WE THE PEOPLE, produced by WETA/TV, Washington, D.C. and the American Political Science Association, moves the student inside the United States Congress. For example, one program, explores a Congressional Committee such as this one and lets students hear from Representatives and Senators, their staffs, lobbyists, and ordinary and extraordinary citizens interested in a particular piece of legislation.

- THE NEW LITERACY, produced by a consortium of colleges in Southern California, makes students computer literate.

- THE MECHANICAL UNIVERSE, produced by the California Institute of Technology, teaches the introductory course in physics, uses experiments, dramatizations, the latest in computer graphics, and textbooks at different levels to make this course serve both science and non-science majors.

These courses cost between $500,000 to $6,000,000 each to produce and might seem excessively expensive if they were produced by only one institution for only one broadcast signal area. But among the benefits of superior television courses is that they can be used in every part of the country, and they can be used repeatedly for many years. Further, the local faculty members assigned by local institutions to teach the courses insure that students have the opportunity for the kind and the level of personal interaction they need and that the course is adapted to meet local needs and standards. Most importantly, once the courses are produced, the fact that they have long lives and can be used nationwide, combined with their superior quality, makes these products very cost-effective. With fully developed delivery systems in place, telecommunications could deliver quality education even more widely and more efficiently.

Because of the initial investments these courses require, few institutions attempt to produce for national distribution without assistance, and there are few sources of funds. Indeed, the newly created Annenberg/CPB Project, along with a few colleges and a few public television stations, have been the principle funders to date. Though currently available college television courses are models of their kind, much more needs to be done if the use of telecommunications is going to come close to reaching its true potential to serve the educational needs of the nation's adults. It is not only essential that we develop many more academic courses in many more fields, but it is also critical that we develop courses in technology, manufacturing, robotics, and other technical and vocational areas. Further, it is essential that we create full curricula to help us move ahead in a very competitive world.

To create full curricula for academic degrees; for continuous up-dating and improvement of science and math professionals and for science and math teachers; for professional recertification; for upgrading of work skills; for retraining of employees who find themselves unemployed because of disappearing industries; and for a fully literate America requires more than a serendipitous approach to course development; it requires a body of funds administered even-handedly on behalf of the educational needs of all adults. And it requires delivery systems devoted to education and training. Public broadcasting's statellite interconnection and broadcast facilities across the country put a significant number of hours of formal postsecondary instruction into over eighty percent of all television households in this country each fall and spring. But formal postsecondary instruction is only one of dozens of education and community demands upon those scarce broadcast hours; and public broadcasting, as important as it is and as important as it must remain in the delivery of postsecondary instruction, cannot do the job on open circuit broadcast channels alone.

Currently, public television is developing a demonstration of a new delivery system and programming service called the National Narrowcast Service (NNS). This new venture will deliver college courses and continuing education directly to worksites, colleges, and community centers through a variety of telecommunications technologies, including the public television satellite interconnection among stations, Instructional Television Fixed Service (ITFS), cable, and direct reception from the satellite. All of this technology exists now, as does the ability to integrate computer programs into the television signal so that students can receive both video and computer components simultaneously and to deliver separate television and computer courses simultaneously for record and replay. While the technology and the expertise exist, adequate funds to harness the systems and create the courseware do not. Thus, it is critical that such funds be allocated and set aside specifically to develop postsecondary educational telecommunications. Though some entities may devote a part of their funds to this need, as does public television, a good deal more is needed to deliver full curricula to those places where adults find it most congenial to study and most necessary to learn--to campuses, yes, but also to worksites, to community centers, and to homes.

Therefore, to better serve adult learners across the country, the new higher education reauthorization bill should allocate funds to be used specifically to research postsecondary education needs, to fund the development of course materials and full curricula to be delivered via telecommunications to meet those needs, and to assist in the creation of the systems to make these materials available to serve a full range of postsecondary students. These funds might be administered as a part of the Department of Education or as a special National Endowment for Postsecondary Education

Telecommunications. The important point is that only with allocation of national resources, augmented as possible by state, corporate, and private sources, can we build the new systems and develop the new courseware to serve our nation's learners well. However, through a coordinated and fully-funded national effort, expenditures in money, energy, and creativity can be expertly invested in our most valuable resource--human capital. Such an investment will yield a handsome pay-off in excellent, cost-effective education, a more productive American economy, and a more vital American society.

TESTIMONY

SUBMITTED TO THE

EDUCATION, ARTS AND HUMANITIES SUBCOMMITTEE

OF THE

SENATE LABOR AND HUMAN RESOURCES COMMITTEE

SENATOR ROBERT T. STAFFORD, CHAIRMAN

BY

DR. JACK A. KINDER, CHAIRMAN

NATIONAL ADVISORY COUNCIL ON CONTINUING EDUCATION

REGARDING ADULT LEARNERS AND THE
REAUTHORIZATION OF THE HIGHER EDUCATION ACT

TITLE I: "CONTINUING POSTSECONDARY EDUCATION"

TITLE IV: "STUDENT FINANCIAL ASSISTANCE"

SEPTEMBER 26, 1985

Testimony

of

Jack A. Kinder, Chairman

National Advisory Council on Continuing Education

My name is Jack A. Kinder. I am Executive Secretary of the Missouri State Teachers Association. This year I also have the honor of serving as Chairman of the National Advisory Council on Continuing Education, a presidentially appointed body established by Congress in title I of the Higher Education Act.

The Council's major concern is federal education policies affecting adult learners at the postsecondary level of instruction. Its Congressional mandate carries these responsibilities:

A. To advise the Secretary of Education regarding policies, regulations and procedures arising in the administration of title I of the Act;

B. To examine all federally supported continuing education and training programs and make recommendations with regard to policies to eliminate duplication and to effectuate the coordination of programs under this title and other federal continuing education and training activities; and,

C. To report to the President, the Congress, and the Secretary of Education, as well as the heads of other federal agencies, of its findings and recommendations on all federal laws pertaining to continuing education and training.

If I may, I would like to proceed with my testimony in this way. First, I wish to make some general comments about the Council's position regarding the reauthorization of the Higher Education Act. Second, on behalf of my colleagues on the Council, I will submit four recommendations affecting the programs established by title I ("Continuing Postsecondary Education") and by title IV ("Student Financial Assistance") and certain other federal laws dealing with the adult learning issue. And finally, I will conclude with a brief narrative to explain the basis of the Council's recommendations.

To begin, let me say that during the past year, the Council has intensified its focus on the central theme of its deliberations of the past three years - the economic relevance of adult learning in the United States. This focus was more than justified by the intensity of the testimony and the breadth of information we received from hundreds of organizations and individuals whom we solicited for advice on the nature of continuing education in America today.

Our Council and its guests concluded repeatedly that the strength of continuing education most often rested on continuing education's ability to meet the economic, job- and career-related interests of individuals, a fact that led the Council to seek the input of private and public sector employers into the Council's deliberations. This linkage between continuing education and the workforce is central to our thinking.

Because the Council was established primarily to advise the federal government, we gave priority in our discussions to answering one question: What role, if any, is most appropriate for the federal government to encourage and increase adult learning opportunities in the United States?

We concluded that there was indeed an appropriate role for the federal government, albeit a limited one, but one that was desirable and which complemented the activities of postsecondary institutions, business and industries, and state governments.

Our deliberations took into consideration the fact that the title I program authorized by the Higher Education Act has not been funded since 1981-82, and that if it were to be reauthorized and eventually funded, it would have to be changed significantly to help establish more clearly what the federal role ought to be in developing adult learning and continuing education opportunities.

The Council, consequently, developed its own legislative proposal to amend and reauthorize title I, which we earlier shared with the Senate and House education committees. In the meantime, Senator Hatch, Chairman of the full Committee, introduced his proposal, S. 480 ("The Continuing Education Act of 1985") to accomplish precisely what the Council intended.

The Council endorses S. 480. In our judgment, it is the kind of legislation that recognizes the need to integrate employment-related issues better with postsecondary education goals, particularly the goals of continuing education. The Council's original proposal overlaps with S. 480 and we strongly recommend that S. 480 serve as the basis of the Committee's further discussions of the Higher Education Act's relevance to the rapid expansion of adult participation in postsecondary education.

The specific recommendations of the National Advisory Council on Continuing Education to the Senate Subcommittee on Education, Arts and Humanities regarding the reauthorization of the Higher Education Act are as follows:

RECOMMENDATION ONE:

Regarding the refocusing of title I ("Postsecondary Continuing Education Program and Planning") of the Higher Education Act:

The Council recommends the following focus for the title:

a) A program of direct grants to postsecondary institutions to encourage and expand their involvement and commitment to serve adults;

b) A focus on pilot projects requiring limited federal funds that would emphasize the use of seed money to develop demonstration programs leading to replication by others, either separately or through consortial arrangements;

c) The application of new technologies to help meet the educational needs of adults as well as the collection, dissemination and transfer of information about successful adult-oriented programs;

d) Emphasis on using institutional resources to help adults who are in financial need, especially women who are simultaneously entering or returning to education and the workforce in record numbers.

e) Enhancement of the role of private sector employers in the planning, implementation, monitoring and assessment of the effectiveness of postsecondary continuing education, especially as it relates to employment issues;

f) The coordination of institutional grantee activities with existing state priorities; and,

g) The development of recognized centers of postsecondary continuing education excellence with an emphasis on research and, particularly, research demonstration and outreach activities, including special efforts to develop pilot projects for exemplary staff development activities;

The National Advisory Council on Continuing Education offers these priorities in order to help achieve two important objectives: First, to reach a better consensus regarding federal policies for postsecondary continuing education; and second, to encourage all postsecondary institutions to reassess their policies, programs and resources for continuing education and for adult learners.

RECOMMENDATION TWO:

Regarding amendments to title IV ("Student assistance programs") of the Higher Education Act;

The Council recommends that the following options be considered in light of the current discussions of the direction and purpose of federal student aid programs:

a) Expand eligibility to all title IV's student aid programs to those who study on a part-time basis, including less-than-half time.

All title IV's grant and loan programs could be made available to part-time learners on the basis of their financial need. Appropriate provisions could be incorporated in the title that would acknowledge the "independent" status of most adult learners and measure their ability to contribute to the costs of their education accordingly. The income of these independent students should be assessed rigorously but fairly in light of the many non-education related expenses not shared by traditional and dependent students.

b) If the option to open all title IV programs to part-time students, including less-than-half-time students, is not acceptable, current provisions in certain programs (SEOG, SSIG and C-W Study) could at least be revamped to provide certain minimum levels of support by institutions and states for part-time and less-than-half-time students.

The current provisions introduced by the Education Amendments of 1980 to help these students are not enforced and are unenforceable. Since the FTE formula is used by HEA to determine basic allotments under certain programs, it would appear to be in order to strengthen the intent of

Congress by encouraging miniumum funding (now about 10 percent of eligible funds under select programs) for aid to non-traditional students, particularly to less-than-half-time students.

c) Title IV could enhance its emphasis on public information regarding possible financial assistance available to adult learners.

As in many other federal and non-federal programs that are intended to support adult learning, public information regarding their availability is often minimal or ineffective. New and imaginative techniques, including mass media and dissemination of information to homes and worksites, could be used to reach non-traditional learners. The on-campus and in-school devices often used to reach traditional students, most of whom are already enrolled at some level of instruction, may be inappropriate for adults.

d) Renewed emphasis could be placed on education and work-related guidance and counselling services and other non-academic services, including day care facilities.

Given the strong relationship between continuing education and the employment-related interests of adults, institutions and other agencies could expand their counselling and guidance services to adults in an effort to strengthen that linkage to insure that the educational objectives of adults are being met by institutions. Also, information regarding day care facilities is vitally important to many women who are returning to postsecondary education and to employment after prolonged absences.

RECOMMENDATION THREE:

Regarding the linkage between the intent of title I and title IV programs as they relate to adult learning:

For nearly twenty years, Congress has made no special effort to link the success of title I, in whatever form, to the relevant adult-oriented student aid provisions contained in title IV. If title I were to be reauthorized to address better the issues of continuing education, non-traditional learning, and postsecondary involvement with employment and the workforce, it may be desirable if the Higher Education Act were to link institutional eligibility to participate in title I funding to the same institution's willingness to demonstrate its intent to use title IV's financial assistance funds to help part-time and less-than-half-time students.

RECOMMENDATION FOUR:

Regarding major federal laws that address the status of adult learning in the United States:

A review may be warranted of at least four major federal laws that address, at one educational level or another, the question of the continuing education and training needs of adults. These laws include the Adult Education Act, significant portions of the Higher Education Act, the Carl Perkins Vocational Education Act and the Job Training Partnership Act. The emergence of adult learning as a determining factor in the evolution of American education at all levels, but most evidently at the postsecondary level, may suggest the need for the existence of legislation apart from the Higher Education Act, whose priority concern is now financial assistance to full-time undergraduates.

Rather than a totally new federal law requiring, perhaps, significant new expenditures, a proposal to review existing relevant legislation leading to possible coordination and even consolidation, may result in a cost-effective solution to helping to establish a firm, clear national legislative base for many issues pertaining to adult learning in the United States.

BACKGROUND STATEMENT:

In developing these proposals to amend titles I and IV of the Act, the Council took into consideration certain data offered to it at public hearings and which it interpreted in light of the HEA reauthorization process.

For instance, the Council was reminded that economists report that three-quarters of the expected American workforce in the year 2000 is already in the workforce of 1985. The Bureau of the Census states that the median age of Americans today is in excess of 31 years and is increasing. Statisticians from the National Center for Education Statistics and elsewhere report that for the first time the majority of students (52 percent) enrolled in postsecondary education over 22 years of age, and that 41 percent of all students are studying on a part-time basis.

It is difficult to comprehend what is meant anymore by the phrase "non-traditional" student. In the past, the phrase was used primarily to refer to those students who were not studying full-time for degrees and credits in postsecondary institutions and who were not from the traditional youth cohort of college enrollments, those between the ages of 18 and 22.

In light of demographic information, the existence of truly "non-traditional" learners in the minds of many may be as mythical to them as the "average American household" may be to others. This is not far-fetched. Based on the last decennial survey conducted by the Bureau of the Census, the Bureau now reports, for instance, that for the first time in American history, a majority of American households do not have school-age dependents in them.

This same body of data also confirms what has often been said in the past, that the majority of adults who continue their education do so for job- and employment-related reasons and with motivations that clearly confirm a fundamental assumption of this Council — that most adult learning is highly economically relevant to the individuals and families participating in it.

The assumption has usually been that more and better education leads to more and better employment opportunities. The fact of the matter is that today the reverse is equally true - employment leads to more education, more training.

Recent reports on "corporate classrooms" and on degree-centered corporate educational institutes, as well as private-sector estimates of its education and training price tags in excess of $30 billion (some say business costs for training may exceed $200 billion!), indicate the pressures from within the business community for individuals to re-assess their education and training needs.

Adult participation in continuing education within postsecondary institutions - but more likely outside of such institutions -may theoretically appear to be voluntary, but in practice it often is not. The demands of the workplace, of new and changing industries and technologies, the necessity of constant informational renewal, of the growing public pressure to better fit individuals to jobs and not jobs to individuals, belie the "voluntary" nature of most continuing education.

America's private economy has made a huge investment in training, almost as much as America's public investment in education.

The challenge to American society today may be the success with which policy-makers can make the needed linkage between what is happening in the private economy and what is happening, or needs to happen, in the public and tax-based economy that supports American education.

It is the view of the Council that continuing education at postsecondary institutions rests at the center of this linkage, and that the barriers that have persisted artifically to separate traditional education from non-traditional learning, full-time students from part-time students, and public policies focused exclusively on youths to the detriment of better policies focused primarily on adults, are no less insurmountable that the barriers that often have hampered the educational community from cooperation with and comprehension of the needs of employers in the private sector.

The American workforce of the future, of the year 2000, is basically the American workforce we now have. The great middle bulge of American society is reflected by the age cohorts in postsecondary education and by the supposed glut of mid-level professionals and technicians in the workforce.

Postsecondary enrollments by 18-to-22 year olds have dropped significantly in recent years, a decline that began in 1981 and which is expected to continue. From 1970 to 1981, the number of older college students (22 to 34 years old) increased more than the number of young students. If included in these totals are the 1.2 million students over 34 years old, then the students under 22 years old were only 48 percent of all students in 1981 (as compared to 56 percent in 1972).

The majority of these older students on campus are studying on a part-time basis, many out of necessity on a less-than-half-time basis. The majority of these students are employed in some capacity full-time or part-time or are seeking employment. The majority of these students cite their interest in employment as the reason for participating in continuing education.

The relevance of employment and job-related issues to adult learners is reason enough to view postsecondary continuing education as an effective bridge between the world of education and the world of work. In the parlance of the computer age, continuing education for these adults is "user-friendly". It helps them achieve specific economic goals but often at considerable expense both in terms of cost and time.

This relevance is most dramatically evident in the changing role of women in society. Women are in the majority of postsecondary enrollments in the United States, as they are in the majority of continuing education enrollments. Of the 20 million new jobs created in the workforce since the early 1970's, a majority has been filled by women. 70 percent of the women between the ages of 25 and 54 are now in the workforce including, for the first time, a majority of married women.

This phenomenon reinforces the validity of still another statistic that has gained common acceptance: One-third of the American workforce is "in transition"; that is, 36 percent of American workers each year is undergoing some change in job status. Workers are changing jobs, changing careers, upgrading their current positions, or are actively anticipating such changes.

American workers are in transition in another way too. They are physically mobile. Americans continue to move at the rate of more than 20 percent a year, 10 percent within their current cities and 10 percent to new cities. This reflects a general migration of the population from the north and northeast to the south and southwest, from frost to sun, from steel to synthetic fibers.

From all the reports and testimony that were shared with the Council in the past year, the Council was directed to the same general conclusions: part of the solution for achieving these education/work linkages rested with major investments in research and research application, the timely dissemination of information, and more coherent approaches to the greatest public and private investments that any nation can make - human resource development.

By 1990, the United States will have 63 million men and women in the workforce between the critical and most productive ages of 25 to 45, up from 40 million in 1970. In terms of human resources, any sustained and lasting turn-around in the economy must somehow rest with this one-third of the adult population.

Given the fact that the majority of postsecondary enrollees are now over 22 years of age; that part-time postsecondary enrollments grew 65 percent between 1972 and 1983 and now constitute 41 percent of all enrollments; that there are now in excess of 5.2 million part-time students enrolled in credit-related postsecondary programs (non-credit statistics would increase these numbers significantly), it is obvious to the Council that something fundamentally different is occurring in American education.

But in fiscal year 1984, for instance, programs authorized by Title IV ot the Higher Education Act spent $6.2 billion on student assistance in the form of various direct grants and loans to students. Over 90 percent of aid recipients were full-time students, with part-time student eligibility restricted in most federal aid programs, and less-than-half-time student eligibility even more severely restricted.

The great majority of adult learners in postsecondary education were part-time students, and virtually all less-than-half-time students represented a major constituency of continuing education.

In that some year, only 6.5 percent of Pell grant recipients were classified as part-time, and they received about 10 percent of the Pell dollars, the major grant program. In theory at least, less-than-half-time students were eligible to receive up to 10 percent of an institution's Supplementary Education Opportunity Grants (SEOG), but in fact only .02 percent of SEOG funds were used for that purpose.

Similarly, less-than-half-time students were eligible to participate in the College-Work Study program, but in this program only .05 percent of the appropriation was used to their benefit.

Despite the compelling vividness of postsecondary demographics, the Higher Education Act retains a primary focus on traditional students engaged in traditional, full-time academic programs. HEA has served these students well and has succeeded in opening up opportunities to many individuals who otherwise may not have had access to postsecondary education.

These opportunities are restricted basically to those who can demonstrate financial need; but is is not clear why this assumption of financial need among youths between the ages of 18 and 22 has not been better applied to older individuals as well, many of whom can also demonstrate to anyone's satisfaction that they too are in financial need. For many, the very fact of their part-time attendance suggests the pressures of educational costs as a factor in their educational plans.

The National Advisory Council on Continuing Education is convinced that if the Higher Education Act is to be reconsidered and reauthorized today, it should reflect better the unusual circumstances altering today's student enrollment patterns, and not simply readdress the circumstances of the past.

Despite the good intentions of Congress in opening up student eligibility in certain programs for the part-time and less-than-half-time learner, the evidence seems clear that few institutions and few states have used federal aid to reach these students. Informational packets, guidance and counseling sessions, and advisement regarding employment-related education programs - a task that would require more precise equations between the education market and the employment market - are not among the routine services given to adult learners.

There is one irony in this behavior. Much of the student aid that is distributed by the federal government to institutions and to states is based on formulas that take into consideration enrollments by "full-time equivalents". That is, certain fixed dollar amounts are determined by not only the numbers of full-time students expected on campus but the numbers of part-time students as well. The question is, are the "FTE" -based funds actually used to help the students upon whom these formulas are constructed, or are they, as widely suspected, used to provide additional help to full-time students?

One wonders what would happen to the Higher Education Act if it were to be written afresh today, in 1985, and not written initially in 1965 when higher education was being swamped by the first waves of the post-war baby-boom?

If it were written today, without any precedent, would it not more naturally acknowledge the current configurations of adult enrollments (41 percent) in postsecondary education, and somehow reflect broad public discussion - and awareness - of the nation's economic stability, the need to be more productive and competitive in the market place, and the increased acceptance of the fact that it is alright to talk about education and about jobs in the same breath?

It is neither likely nor desirable to put aside almost twenty years of experience with the Higher Education Act. As is, it has served institutions, individuals and the nation in ways that are incalculable. The temptation to rewrite the Higher Education Act to serve a particular need, however great, is to lose sight of the long-term objectives of the Act and the assurances it offers that excellence in the future can be achieved.

But the Council maintains now as it has done in the past that economic policies and education policies are cut from the same cloth. Education and training must lead somewhere,and if we are at peace with the fact that they can lead appropriately to medicine, law, theology and engineering, then we should be able to adjust to the fact that they can also lead to computer technology, assembly line production, textile design, insurance sales and the thousand other jobs that employ the majority of American workers.

Perhaps it is time to recognize that broad consumer interest in further education and training is ultimately of intrinsic self-interest to the nation, and that public policies that encourage this new kind of consumer demand, whether it be in the Higher Education Act or some eventual new legislation, are the fortification that is needed to help assure educational excellence now to enhance the productivity and economic security of the workforce.

These conclude my remarks, Senator. In several weeks time, the National Advisory Council on Continuing Education will be sending you and your colleagues a copy of the Council's 19th Annual Report, in which these recommendations are discussed in more detail.

Also, later in the year, we will be publishing the results of a conference the Council is sponsoring in Washington on October 9-11, 1985, in conjunction with the Organization for Economic Cooperation and Development (OECD), which is based in Paris. The purpose of this joint effort is to review and consider for possible application to the American system of education and governance, the results of various OECD member-nation reports on their policies and programs of continuing education and training of adults in the workforce of industrialized countries.

Thank you for allowing me to submit this testimony. My associates and I on the Council wish you success in your reauthorization exercise.

STATEMENT FOR THE RECORD
OF THE
NATIONAL UNIVERSITY CONTINUING EDUCATION ASSOCIATION
ON
THE REAUTHORIZATION OF
TITLE I, HIGHER EDUCATION ACT OF 1965, AS AMENDED

Subcommittee on Education, Arts and Humanities
Committee on Labor and Human Resources
United States Senate

September 26, 1985

The National University Continuing Education Association (NUCEA), is a national, nonprofit association, representing some 350 member colleges and universities and over 1,000 continuing education professionals serving millions of adult, part-time students nationwide. Since its creation in 1915, NUCEA has provided leadership in the field of continuing education and university extension services.

NUCEA has been committed to Title I since its enactment. NUCEA member institutions were involved in the creation of the original version of Title I included in the Higher Education Act of 1965, and continue to believe that Title I is critical to the continuing higher education community as the only federal vehicle in support of continuing higher education.

Most recently, NUCEA testified on September 5, 1985, before the U.S. House of Representatives Subcommittee on Postsecondary Education on the reauthorization of this important continuing higher education title.

The institutions of higher education are witnessing a transition in the overall composition of today's college students. When the Higher Education Act was first enacted in 1965, it sought to serve both national and student needs. Twenty years ago, college students were mostly 18- to 22-year-olds, and of financially dependent status. Today's college students are older on average than their fellow classmates. Often, they attend school part-time. For example, in

1984, part-time students accounted for 43 percent of the higher education enrollments. Students over the age of 25 represented over 30 percent of all college enrollments. Moreover, these "older students" are expected to account for a growing proportion of American college and university enrollments in the years ahead.

Frequently, these older part-time students must support dependents of their own. They often come from families in which their generation is the first to seek college diplomas. For the most part, these students see higher education as an opportunity to gain the education they perceive as so vital to their own long-term economic security. They recognize, from personal experience in many cases, that the job world is changing; that they cannot expect to make their first occupation a lifetime career.

College enrollment among minorities represents a special cause for concern, not only for the higher education community, but for our nation as a whole. By the year 2000, over 27 percent of the available college-age youth will be minorities. While greater numbers of minority students are enrolling in postsecondary institutions, the percentage of the overall minority population attending these insitutions is actually decreasing. Thus, there are more potential minority students than ever before who will not receive the education necessary to succeed in today's rapidly changing workplace. Increasing numbers of these minorities find themselves at an educational disadvantage. Frequently, they receive little encouragement to pursue postsecondary studies. And with little support and few resources, many first generation minority college-age potential students abandon pursuit of a college degree before they start. This represents a critical loss for America's future workforce.

At issue here is the future productivity of the American workforce. Ninety percent of those who will constitute the workforce of 1990 are already in today's workforce. Displaced employees from declining traditional industries need to be reeducated and retrained. Potential new workforce entrants need to acquire the skills which will enable them to realize their productive potential. In our rapidly changing world, a highly skilled workforce is the prerequisite for a vital and secure economy. Keeping pace with accelerating changes in the workplace requires lifelong learning. Title I represents an important potential vehicle that could help to foster and sustain lifelong learning through higher education institutions.

NUCEA has two priorities for the reauthorization of Title I. NUCEA supports:

1. The provision of direct grants to postsecondary institutions to develop and strengthen adult learning and continuing higher education programs to help meet the needs of the adult learner; and
2. The development of new educational delivery systems to better serve off-campus students and those unable to attend scheduled classes.

First, NUCEA seeks to establish a grant program, to be administered by the Secretary of Education, which would promote the expansion and improvement of continuing education programs at postsecondary institutions. The broad authority for federal support of continuing postsecondary education established in 1980 has never been funded by Congress. NUCEA supports a revision of the Title to provide a realistic, minimal federal program to stimulate new adult learning services.

More than 21 million Americans are currently participating in some type of adult education, which makes this the fastest growing sector in all of education. NUCEA member institutions alone devote extensive resources to this constituency, and typically receive little or no budgetary support from their own institutions. To address the emerging needs of diverse adult student constituencies more effectively, funds are required to try new ideas and new student services. Without outside support, institutions cannot easily find the risk capital necessary to experiment with innovative ideas.

Second, NUCEA seeks in the reauthorization of Title I a recognition of the importance of new educational delivery systems to continuing higher education. Technology in and outside of the classroom is no longer a theory, but a reality. The emphasis on new learning technology is central to ensuring equal access to higher education by all segments of the population.

Educational delivery systems represent the diverse ways in which knowledge is communicated or made available to learners. Today, educational delivery systems include both audio and video telecommunications technologies such as: radio, audiotapes, telephone and teleconferencing, videotapes, open-broadcast television, cable television, instructional television fixed services (ITFS), satellite television, and a variety of interactive telecommunications. Educational delivery systems also include the more traditional means of communicating knowledge with which we are all familiar.

Continuing education programs cannot be characterized by any one approach because of the diverse educational needs and background of today's continuing education students.

- For instance, Colorado State University has been offering graduate angineering education via television since 1967. This program, known as State University Resources in Graduate Education (SURGE), requires a significant capital investment for development and production costs alone.
- The International University Consortium (IUC), based at the University of Maryland, furnishes telecourses to more than 24 member institutions across the country. In 1983, student enrollment in the IUC program increased 57 percent over the year before.
- At Kansas State University, an audio/teleconferencing system delivers a program to high school science teachers,

designed to enhance their knowledge of new discoveries in the field and, in turn, help make them better teachers.

Depending upon the audience and available resources, one or another medium may be preferable. Whereas satellite might be appropriate for delivering engineering courses to professionals on the job, television may be the best medium for the single head of household with two small children, or for teaching students in remote areas.

This nation's future economic vitality will depend on the quality of its workforce. To meet the challenges of an increasingly competitive international marketplace, America must be prepared to reinvest in its human capital resources. Colleges and universities should be encouraged to help educate and train those already in the workforce and at the workplace. Effective ways to do this utilize both newly emerging educational delivery systems, and delivery systems already in existence.

As will the grant program strengthen and promote continuing education programs at the postsecondary level, a federal government initiative will be critical to the timely and widespread use of educational delivery systems. These delivery systems offer the means to achieving equal access and participation for nontraditional learners.

NUCEA's two priorities for the reauthorization of Title I represent ways in which the rapidly changing student population can be served through postsecondary institutions. The important task for the reauthorization of Title I is to grapple with the educational and economic consequences of meeting the needs of the constituencies which will constitute the college student population of the future. Revising Title I will go a long way toward ensuring a fundable continuing higher education title, and the access of all segments of the population to higher education.

NUCEA appreciates the continuing opportunity to work with the members and staff of this Subcommittee and with leaders of the higher education community to help meet the needs of nontraditional students.

National Association
of State Universities
and Land-Grant Colleges

Robert L. Clodius, President

October 1, 1985

The Honorable Robert T. Stafford
Chairman
Subcommittee on Education,
  Arts and the Humanities
Committee on Labor and
  Human Resources
625 Hart Senate Office Building
Washington, DC 20510

Dear Senator Stafford,

I am pleased to submit for the record the following testimony prepared for the National Association of State Universities and Land-Grant Colleges (NASULGC) by Dean David Ames of the University of Delaware on behalf of the reauthorization of Title XI of the Higher Education Act, the Urban Grant University Program. Many of the nation's major urban public universities are included in the membership of this association, and Title XI would enhance the many resources which such institutions can bring to bear on the problems and opportunities facing our cities today.

I wish also to reiterate my appreciation and that of NASULGC for the deep commitment you have made over the years to the support of higher education, and the many efforts you are now undertaking on behalf of the reauthorization of the Higher Education Act. Thank you for your consideration of the points raised in Dean Ames' testimony and for supporting the inclusion of the Urban Grant University Program in the reauthorization.

Sincerely yours,

Robert L. Clodius

Robert L. Clodius
President

enclosure

STATEMENT BY

DR. DAVID AMES, DEAN

COLLEGE OF URBAN AFFAIRS AND PUBLIC POLICY

UNIVERSITY OF DELAWARE

TO THE

SUBCOMMITTEE ON EDUCATION

COMMITTEE ON LABOR AND HUMAN RESOURCES

UNITED STATES SENATE

IN SUPPORT OF REAUTHORIZATION OF

TITLE XI

OF THE

HIGHER EDUCATION ACT

MR. CHAIRMAN, Members of the Subcommittee on Education, I am David Ames, Dean of the College of Urban Affairs and Public Policy, University of Delaware, and I am submitting this testimony in behalf of the National Association of State Universities and Land-Grant Colleges (NASULGC) in support of the reauthorization of Title XI of the Higher Education Act, the Urban Grant University Program. The NASULGC Division of Urban Affairs, of which I am a member, represents over 80 urban public universities and system offices from most of the Nation's major metropolitan areas, including Chicago, Providence, Indianapolis, Boston, and Salt Lake City. I am pleased to have this opportunity to testify to the Subcommittee and to join my colleagues Kenneth Ryder and Jim Harrison of the Association of Urban Universities in urging your support of Title XI.

I would like to review with the members of the Subcommittee three aspects of Title XI:

--the continued need for an Urban Grant University Program, which the Congress recognized in its authorization of Title XI in 1980 and which has increased during the past five years;

--the support of NASULGC for the recommendations of the ACE Task Force on Title XI; and

--a look at what the Urban Grant University Program could do, if funded, in a small but heavily-urbanized state such as Delaware, where 80 percent of the population lives in an urban setting.

Continued Need for the Program

The findings stated by Congress in authorizing Title XI five years ago are no less true today. For example:

--The Nation's urban universities are a major but underused reservoir of skills, talents and knowledge which can be applied to the understanding and amelioration of urban problems. Within the membership of NASULGC alone will be found such institutions as the University of Illinois at Chicago, the University of Utah and similar urban universities which are the sources of enormous educational, research, technical assistance, employment and community services and resources within their metropolitan areas. These universities have a unique role in their cities and are called upon to provide a widening array of services to urban governments and citizens.

--The skills, talents and knowledge of these institutions must be applied systematically and in a sustained manner in order to make significant contributions to understanding and ameliorating urban problems. At the same time, the application of these skills is hindered by the limited funds to sustain their commitment. In 1985, as in 1980, meeting the needs of urban America requires the depth of understanding and commitment to long-term goals and objectives to which the research and other resources of urban universities can contribute deeply--whether it be a better understanding of urban race relations or the design of a more effective sewer system. And many of our urban universities have committed many of their own financial and manpower resources to that effort. I can cite as examples the commitment by the University of Rhode Island's President Edward Eddy of significant resources to the Urban Field Center and to collaboration with the Providence School Department, or my own president Art Trabant's commitment of university funds the College of Urban Affairs and Public Policy and its urban agent program. Yet, as you know, universities such as ours have also faced increasing fiscal stringencies and limited university resources during the past five years, and the funding of a small, targeted program such as Title XI would be very helpful in our efforts to continue and expand our essential urban research and outreach.

--The policy of the United States is to encourage and facilitate the application of urban university skills, talents and knowledge to meeting the needs of the Nation's urban areas. Although the past five years have seen a general reduction in the attention and concern of many executive agencies for urban policy and urban problems, I cannot see any reduction in the need for the attention of our national government to the needs of the Nation's cities and metropolitan areas. The vast majority of the Nation's citizens do and will continue to live their lives in urban areas, and our universities and other major institutions must continue to respond more effectively to their needs. The reauthorization of Title XI, the Urban Grant University Program, will be an important signal that the Congress continues its commitment to responding creatively to urban needs as it did a century earlier to the needs of an agrarian nation.

Specific Amendments

NASULGC has joined the ACE Task Force on Title XI by endorsing its recommendations for minor changes in the legislative language for the Urban Grant University Program. We believe that the additional paragraph suggested for the "Findings and Purpose" (Section 1101) will make clear what has always been implicit in the program--that local governments and other entities in urban communities need and desire the skills, talents and knowledge available in urban universities in reaching solutions to urban problems.

In addition, we strongly support amended language which would permit peer review of project proposals seeking Title XI funding. We believe that peer review has been a helpful means for assuring diversity and fairness in awards made in other university-oriented federal funding programs; we believe it would be helpful rather than a hindrance in assisting the Secretary of Education in making funding decisions; and we believe it would help to avert in Title XI a recent tendency by some universities (including, unfortunately, a few of our own) to bypass established federal funding and review mechanisms for special-interest legislation in behalf of a particular building or activity. We believe the potential inherent in Title XI to address the Nation's urban needs is too important to be diverted by such special interests.

We believe the other minor amendments to Title XI proposed by the ACE Task Force will be helpful in including potential collaborating entities not now specifically included by the title, as well as providing Congress with flexible language in appropriating funds for the program.

Let me reiterate, however, the sentiment which you will hear expressed by others testifying in support of Title XI. My main interest, and that of NASULGC, is the reauthorization of Title XI, and we would not object to a simple re-enactment of the current language. I have been associated with urban universities for most of my career, and I have been increasingly impressed with the abilities, confidence and value of what the Nation's urban universities have been and will continue to be able to contribute to the citizens and public officials of the cities in which they are located. Reauthorization of Title XI will be a significant indication to the Nation that Congress continues its commitment to innovative and practical responses to the needs of urban America, and an important reinforcement to the efforts that my own and other urban universities are already making to address urban and metropolitan needs and opportunities.

The Potential of Title XI in One State and One University

The College of Urban Affairs and Public Policy at the University of Delaware is an outgrowth of early efforts in the 1960s to apply university resources to urban and community needs. We were one of the recipients of the initial round of Ford Foundation grants for that purpose in the 1960s. Indeed, we were organized to parallel the mission of our sister agricultural college to assist the University of Delaware in carrying out its land grant mandate in the cities and towns of Delaware. Last year we responded to several hundred requests for assistance of one kind or another throughout the state and carried out some 40 funded public service and applied research projects. These included survey research for a variety of clients, economic development assistance and planning, energy research, demographic analysis and historic preservation, to mention a few.

I would like to highlight two examples of how Title XI could make an important difference in enhancing universities' capacities to respond to local needs. My first example focuses on reaching the smallest communities within an urban area with university resources. The second concerns a broader regional need. Both have applicability, I believe, to the variety of circumstances possible under Title XI.

Three years ago, the Delaware state legislature appropriated about $40,000 for the College through its urban agent program, to bring university resources to bear on economic and community development problems facing urban neighborhoods and communities in the Wilmington metropolitan area. Our staff developed what we call a community assistance program. Each year, the urban agent program puts out a request for proposals to the local governments and communities in the Wilmington metropolitan area asking them what assistance we might be able to offer them. The communities submit proposals to us. These proposals are evaluated by staff and faculty and ranked in terms of the urgency of the problem, how well we can match our resources to the community's needs, as well as a few other criteria.

We then develop assistance programs for the most deserving communities. Neighborhoods and communities must also contribute financially to the project. The projects have ranged in subject matter from housing to day care and in types of assistance from financial analysis to helping form community development corporations. For those communities we cannot help in a given year, we try to find other sources of assistance.

Title XI declares that the skills, talents and knowledge of urban universities must be applied in a systematic and sustained manner to make a significant contribution toward the solution of these problems.

Our community assistance program, it seems to me, is one of the approaches that enactment and funding of Title XI could assist. It gives even the smallest community with limited resources access to the most senior and expert faculty while at the same time giving students hands-on experience with real world problems. From our point of view, it makes the university accessible in a different dimension to local urban neighborhoods and communities.

My second example is a broader regional one focusing on urban economic development. Over the years we have assisted a number of local governments and nonprofit development corporations on specific projects aimed at rather immediate decisionmaking needs: a labor market analysis for one jurisdiction; locational analysis for a second one; a waterfront study for a third; and so on. Both we and the local governments are increasingly seeing a need for data collection and analysis related to the longer-term strategic planning needs of the communities and less to the day-to-day operations of economic development.

These are on issues that cut across individual communities and relate to the broader regional economy of northern Delaware. Topics include employment and sectoral shifts in the economy, transportation, and infrastructure.

We are in the process of having discussions with local urban governments toward the end of forming an economic research consortium between the university, local governments, economic development corporations and major corporate citizens in northern Delaware. Each would contribute to the consortium. Facilitating this kind of work would be ideally suited to the purposes of the Urban Grant University Program. Not only would a variety of local governments and agencies be participating but jointly, with the university, influencing the outcome of the work. It is also a project which relates what the university does best, long-run research and analysis, to needs of the metropolitan area in a way that is mutually agreed upon.

Title XI is to me the much-needed glue to put together a number of cooperative arrangements between urban universities and local government. For many such collaborations, the money is there or can be found; but for some of the most significant, Title XI could be critical.

Senator Pell. This hearing is now in recess subject to the call of the Chair.

[Whereupon, at 3:20 p.m., the subcommittee was recessed subject to the call of the Chair.]

REAUTHORIZATION OF THE HIGHER EDUCATION ACT, 1985

THURSDAY, OCTOBER 10, 1985

U.S. Senate,
Subcommittee on Education, Arts and Humanities,
Committee on Labor and Human Resources,
Washington, DC.

The subcommittee met, pursuant to notice, at 10:05 a.m. in room 385 of the Russell Senate Office Building, Senator Robert T. Stafford (chairman of the subcommittee) presiding.

Present: Senators Stafford, Kennedy, Simon, and Dodd.

Also present: Senator Bumpers.

OPENING STATEMENT OF SENATOR STAFFORD

Senator **Stafford**. The Subcommittee on Education, Arts and Humanities will please come to order.

Today the subcommittee continues its series of hearings on the reauthorization of the Higher Education Act of 1965.

Our witnesses will speak on a number of important issues that the subcommittee must consider as we redraft this legislation. The first panel will begin with testimony from my colleague from Arkansas, Senator Dale Bumpers. Senator Bumpers has introduced legislation that would provide a national program for improving the quality of humanities instruction in our schools. He has long been a friend to public education and I look forward to hearing from him.

Our second panel this morning will focus on title VII of the Higher Education Act, Federal support for facilities. The next panel of witnesses will speak about the needs of independent students and single parents returning to postsecondary education programs. Our final witness served as an advisor to the Carnegie Foundation on their recently published report on the state of higher education nationwide.

I would like to welcome all of our witnesses today and thank them for appearing before the subcommittee.

The first witness will be my friend and able colleague, Senator Dale Bumpers. Senator, we welcome you here, and we would be glad, at this point, to hear your statement.

STATEMENT OF HON. DALE BUMPERS, A U.S. SENATOR FROM THE STATE OF ARKANSAS

Senator BUMPERS. Mr. Chairman, I thank you very much for holding this hearing this morning on what we refer to as my humanities bill.

You will recall that I offered this as an amendment at the time we passed the Education for Economic Security Act, which authorized $400 million for the training of elementary and secondary teachers in math and science. At that time you generously offered to hold this hearing this morning if I would pull the amendment down, which I did.

Let me say first of all this morning, that I would like to submit my full statement for the record, and second, to say that I will just speak extemporaneously about the genesis, in my own mind, of the humanities bill.

First of all, I have to say on the front end, that the program I propose is patterned after a program that the National Endowment for the Humanities has been running with a great deal of sucess for several years.

As matter of fact I would strongly recommend to this committee that you have, at some point, teachers who have participated in the NEH program to come and testify. I think it would be a stimulating experience for you to see, and hear, those teachers who have had the rare opportunity to participate in some of those programs that are put together by the National Endowment with additional funding from the Mellon Foundation.

But the basic reason I got involved in humanities education, and will continue being involved in this area, is that I was first concerned, and then later alarmed, about a host of things that are happening in this country.

No. 1. We have experienced an explosion in technology in the country, and we have always been able to deal with this sophisticated technology. A number of developments, however, cause me to question whether we will be able to do so in the future.

For example, the illiteracy rate is increasing. I might say that there is more than one form of illiteracy, and I fear we're seeing increases in both forms.

We use the definition of illiteracy to refer to people who do not read and write, or who cannot make a decision between two items on the grocery shelf because they cannot do comparative shopping, or who do not know how to make a bank deposit, or write a check, and so on.

But there is also another kind of illiterate, and that is somebody who is extremely well-schooled and disciplined in a very precise basic science, but who knows nothing about literature, philosophy, history, the Constitution of the United States, and ninth grade civics.

And so today the illiteracy rate is climbing. Of 158 nations on Earth, we are now 49th in literacy, which is a serious indictment of a country that considers itself, by every measure, to be the most powerful Nation on Earth.

No. 2, when I graduated from the University of Arkansas, 65 percent of the students were getting liberal arts degrees. Competence in a foreign language was a requirement for almost any degree.

Today, less than 35 percent of the students are getting liberal arts degrees, and the number of colleges and universities in the country who require a basic language course before graduation has dropped from about 75 percent in 1966 to about 50 percent today.

When you combine all those developments with the fact that we are also impoverishing our children, an alarm should sound. the chairman wells knows the situation facing our children from his involvement in these issues.

The number of children under 18 in this country, who are now living in poverty, has grown from about 14 percent in 1969, to about 22 percent now.

All of those things ought to be throwing up red flags to us. I do not know how the Congress, or anybody else, can expect the American people to revere the Constitution if they do not know what it does. I do not know how they can relate to what we ought to be doing in the future, if they do not understand the past.

I have always said I would not vote for anybody, for any public position, who did not have two qualifications. One is a sense of humor and the ability to laugh at himself, but the other is some understanding of history.

So all of those things, as I say, Mr. Chairman, alarm me to the point that I have offered this bill in the last Congress and in this first session of this Congress.

Students are shunning politics. When I was 21 years old, 50 percent of young adults between 21 and 25 were voting.

Today, you only have to be 18 to vote, and less than 25 percent of those between 18 and 25 are voting. That ought to be a clear signal to us, that these youngsters are either turned off by the system, or, they find it very dull and uninteresting. Three out of four of them find it convenient to delegate their responsibility for what kind of future they are going to have to one of their peers. So unless we do something, Mr. Chairman, we may have to answer some very serious questions about the participation of our citizens in our Government.

I want to state that the definition of humanities is not humanism, which has become voguish in the last several years. We are talking about the humanities, that is, modern and classical languages, literature, history, philosophy, social studies, and language arts in the elementary grades.

I might also point out, Mr. Chairman, that I agree with the President, and Secretary of Education Bennett on some things, and one of the things I agree with them on is on traditional values.

Now, we might have a slightly different definition of traditional values, but I think we could agree that one of the traditional values in this country, of course, has been a knowledge of languages, the arts, and literature.

This bill is important for a host of reasons. It is important to the survival of our political process.

And it is important because of the peace process. If people do not have a clear understanding of the destructive capacity of nuclear weapons, and how we live in such a hair trigger situation in the world, then of course the ultimate is going to come about.

And unless we understand other cultures, other people whom we must deal with, we will face serious problems. No matter how strongly we disagree with other nations' political system, we must learn, as has been said, that "we can stand up against them, but that doesn't mean that we can't sit down with them to talk about how we're going to save the planet."

Well, I think a quantum leap in our thinking is absolutely essential if we are going to save civilization. Einstein said it when the first nuclear explosion went off. We have heard it so many times: "Everything has changed except our thinking."

So, Mr. Chairman, here is how the bill would work.

No. 1. It would provide the Secretary of Education a lot of flexibility in which applications for summer seminars to approve, but the applications would come to the Secretary from colleges, junior colleges, community colleges, and universities all across the land. The application for these institutions would be requests for funding for summer training institution for elementary and secondary teachers.

The application would be filed with the Secretary and he would use certain criteria to determine which of the applications are really worthwhile.

No. 2. No proposed institute would have less than 80 students or more than 200.

No. 3. The grants would be for no more than $600,000, and every State would have at least one.

The expenses of the teachers, their tuition, and stipends would be paid that is, principally what this money is for. The stipends would be an encouragement to elementary and secondary teachers who wanted to do this but who otherwise could not afford to do it. Incidentally, this is essentially the way that the National Endowment for the Humanities' programs work.

And finally, if the States in which the colleges and universities are holding these seminars and summer institutes have their own State guidelines for humanities instruction, then the seminars would have to comply with the educational standards of that particular State. Well, Mr. Chairman, that is about the way it works. That is the genesis of the idea.

I know what some of the criticisms are that are going to be leveled. No. 1, there is no followup, and that is true. Desirable as that might be, that is not possible here because of the budgetary constraints that you are and I both are operating under.

It is a shame. It would be nice if teachers could take a sabbatical and do a full year in the study of the humanities or if the seminars could offer support during the academic year, but that is not possible.

But I think this brush with the humanities is valuable. One NEH institute that has been described to me was conducted by professors at the University of Texas.

And in any event it was essentially a study of the differences between Virgil's Aeniad and Homer's Ulysses, and the difference in, I guess, what has come to be known, the socialist system as against our system.

And whether or not all good should be subordinated to the person, only to enhance the State or vice versa. I like to think the United States comes somewhere in between there, because we like to give people incentives to be creative, whereas the socialist systems of the world say that all technology, all advancement, must be for the enhancement of the State and not to the individual.

But anyway, I talked to a couple of the teachers who attended that and who said it was the greatest experience they ever had in their lives. But as I say, the criticisms are, No. 1, that we need a followup program.

And the second thing of course is, it is too expensive, and nobody can argue with that. We just passed yesterday afternoon and will pass again, a budget control act.

But the U.S. Government is going to continue spending money. They are going to continue spending money on defense. They are going to continue spending money on education. They are going to continue spending money on a host of things.

And in my belief, you know, given the opportunity, I promise you I could find a lot of money in the U.S. budget to cut, in order to fund this $50 million program.

It is just a question of priorities and how we are going to establish them in the future. I have always also said—and I do not want to belabor this—but I have said that the President and the Congress ought to be required to come up with a new definition of national security, because people have a terrible mindset about national security being how many planes, tanks, and guns we have, what kind of technology we have. Can a missile hit within a 300-meter parameter, or can it hit within a 100-meter parameters? Those are the kinds of things we think of in terms of national defense, and yet, in my opinion, the very thing we are talking about here this morning is just as vital and maybe more vital.

The Founding Fathers of this country—some of them were citizen-soldiers—but they were all schooled in literature, and arts, and philosophy, and languages.

And they are the ones who gave this country, so far, the greatest document for freedom that has ever been offered to any civilization.

And as I say, unless we take this kind of approach seriously, then we just may be a "good idea that didn't catch on."

Now, Mr. Chairman, I am honored this morning also, to introduce to the committee two gentlemen who will follow me. Prof. Norbert Schedler who runs the Honors Program and Honors College at the University of Central Arkansas.

Since 1981, Dr. Schedler has developed an exemplary program which offers students at a large public institution the advantages of a small college. The honors program is an interdisciplinary program which helps students see how religion and history, literature and philosophy, all throw light on what it means to be human.

The study of the humanities is the core of this honors program and Dr. Schedler has done much to challenge the students, including future teachers who come through the UCA program and have exciting ideas about humanities education.

And the second witness is James Vivian, who is the director of another very vibrant program, the Yale-New Haven Teachers Institute.

Educators across the country have recognized the contribution of this program to New Haven teachers, and in turn, New Haven public school students.

Most exciting to me is the fact that the ideas and concept that guide the Teachers' Institute are exportable. There is no reason that the success in New Haven cannot be copied around the country and I am very pleased that Mr. Vivian is here today to share with us the story of the Yale-New Haven Teachers' Institute.

Mr. Chairman, I thank you very much for your time. Incidentally, before these gentlemen appear before you, I will be happy to answer any questions, if you have any.

[The prepared statement of Senator Bumpers follows:]

STATEMENT OF SENATOR DALE BUMPERS

BEFORE THE SUBCOMMITTEE ON EDUCATION, ARTS, AND HUMANITIES

OF THE SENATE LABOR AND HUMAN RESOURCES COMMITTEE

ON

S. 204, THE HUMANITIES EXCELLENCE AND

TEACHER TRAINING ACT OF 1985

OCTOBER 10, 1985

Mr. Chairman, I would like to thank the members of the subcommittee for giving me the opportunity to be here today to testify in favor of my bill, the Humanities Excellence and Teacher Training Act of 1985. This is a bill that will provide in-service training for classroom teachers and, in the long run, better humanities instruction in our nation's classrooms.

My interest in this bill was originally based on my strong belief that we seriously neglected humanities education at the time we implemented measures to improve math and science education, through the Education for Economic Security Act, P.L. 98-377. I strongly supported the math and science bill, but simply felt it should have included humanities as well. And our neglect of the humanities came at a time when large numbers of secondary school and college students were already turning away from humanities courses.

At the same time, I am convinced that it is within our reach to improve greatly humanities instruction in American schools and even more convinced that a sound footing in the humanities -- in history, philosophy, literature, and languages -- is as absolutely essential to participation in American democracy as it is to understanding what it means to be human.

The anecdotal evidence of the success of the National Endowment for the Humanities summer institutes for secondary school teachers was especially encouraging. Teachers who were fortunate enough to attend those seminars spoke of rejuventation and excitement about their subject areas and pride that someone had given them a pat on the back for a job well done. The experience of the Yale New Haven Teachers Institute further proves that we can keep good teachers in our schools and improve the overall quality of our teachers.

Although we will face teacher shortages in some regions and subject areas in the near future, the quality of humanities instruction, as well as the fate of our schools and our children, lies in improving and retaining our present teacher corps. Interest in the humanities depends first on good teaching in the humanities, for students will not be inspired to pursue subjects which are difficult, though ultimately rewarding, without instructors who are both well-grounded in their subject matter and enthusiastic about their profession. In-service training of teachers --for example, summer institutes and academic year seminars -- is one of our best options for improving teaching.

We should be very concerned about statistics which show that secondary school and college students of the 1980's are less interested in humanities courses and must meet fewer humanities requirements for graduation than their counterparts of only 20 years ago. In 1966, for example, 89 percent of all institutions required foreign language study for the bachelor's degree, but this figure dropped to 53 percent in 1975 and 47 percent in 1983. Survey findings indicate that a student can obtain a bachelor's degree from 75 percent of all American colleges and universities without having studied European history, and a degree from 72 percent of institutions without having studied American literature or history. This trend seems to hold for secondary schools. In most areas of the country, fewer secondary school students are taking history courses, and other humanities courses are treated with the same dismissive attitude. This trend, we all know, represents the institutional response to calls from students in the 1960's and early 1970's for greater personal freedom to choose courses.

The state of the humanities cannot be simply explained, and students cannot take all the blame for ignoring the humanities. Young people face an unsure economic future and feel pressed to follow a course of study that will ensure employment. However, educators and parents are falling down in their jobs if they are not encouraging students to broaden themselves and keep an eye to something besides employment. And I might add that more and more employers, the more sophisticated ones at least, are realizing the value of an employee grounded in the humanities.

We called last year's math and science education bill the Education for Economic Security bill. Humanities education is no less important for our security. I am alarmed that a lack of training in the humanities will mean that students will have specific technical skills but will not have the ability to adapt to the ever-changing circumstances of a sophisticated technological world. Ultimately, students' attraction to technical and job-related training above the humanities could even affect our economic future. We are turning out technocrats who can deal with today's technology, but will they have the flexibility and background to adapt to tomorrow's technology or the historical perspective to manage and conserve democratic institGitions in this complex technological society? Jerome B. Wiesner, former president of Massachusetts Institute of Technology, has stated, "A person is much less of a human being if he thinks of himself only as a technocrat." Dr. Wiesner's former institution, MIT, is taking a close look at its own curriculum. According to a recent New York Times article, administrators and professors at MIT -- and especially its engineering faculty -- are concerned that their students are receiving a narrow training and are looking to the arts and humanities as the training their students currently lack.

Even if we assume our young people can adapt to a new technology, can they make the ethical and moral decisions arising from use of that technology? It is the study of the humanities that can enlighten our students about the use of technology. I have commented several times about the special need for physicians to have a great sensitivity to the power of the sophisticated technology that rests in their hands, and I am convinced the study of the humanities can help them develop that sensitivity. The same could be said of nuclear physicists, lawyers, or computer programmers.

Both the President and the Secretary of Education have performed a valuable service by calling attention to the decline of traditional values in our educational system. In "To Reclaim a Legacy," Secretary of Education Bennett said, "Too many students are graduating from American colleges and universities lacking even the most rudimentary knowledge about the history, literature, arts, and philosophical foundations of their nation and their civilization." I would add that many students are also unaware of other cultures. I am frightened about how that lack of knowledge affects our striving for a peaceful coexistence with our neighbors in an increasingly complex and interdependent world, to say nothing of the adverse impact which this narrowness has on our industrial competitiveness in world trade. The point can be made simply enough: how many Americans do you think speak Japanese? The best figures I can find are that of 1,000 American business representatives in Japan, "a handful can speak Japanese." And in 1983, only 16,127 American students were studying Japanese, a significant increase since 1980, but far from the number of Japanese students learning English. Almost every Japanese student has a modicum of English and many are fluent on our language.

We are facing astronomical deficits, and our most pressing need is to reduce those deficits. It is not without great thought that I propose a bill that would authorize additional expenditures of federal funds. I am convinced, however, that this expenditure is a wise investment in the future. Education is primarily a state and local responsibility, but we have always recognized certain areas where a federal role is appropriate. Just as the need for math and science teachers and improved instruction in those areas was a matter of economic security, so is improved teaching in the humanities a matter of national security and an appropriate federal interest.

The bill I have introduced would authorize the Secretary of Education to make grants to colleges, universities, community colleges, and junior colleges to conduct summer humanities institutes for elementary and secondary school teachers. The grants to institutions would include funds for tuition, fees, administration, living expenses and stipends for participants. The institutes would be restricted to topics in the humanities, including both modern and classical languages, literature, history and philosophy, and language arts and social sciences. The bill would guarantee that each state would have at least one institute.

This program is, quite honestly, patterned after the NEH summer seminar program. That program, however, reaches a tiny number of the teachers in this country, and my program, administered by the Department of Education, would greatly expand the number of teachers eligible to participate.

Education in the humanities can be education for citizenship. It encourages the development of the sensitivity and judgment to use sophisticated technology; encourages an appreciation of our culture, values, and traditions; and, most important, helps us develop a greater understanding of what it means to be human. Also, in our diverse American society and increasingly interdependent world, a knowledge of other cultures, languages, and histories -- both Western and non-Western -- will be invaluable.

This bill is far from a complete solution. The summer institutes can only reach a fraction of the nation's teachers, although the "ripple" effect of the seminars can be significant as teachers head back to their classrooms with new ideas, new energy, and renewed commitment. There is also clearly a need to sustain and develop the ideas and enthusiasm gained in a summer institute over the course of the academic year, and this bill does not address that need.

Finally, there is a clear need to evaluate the successes and failures of the seminars. Because funds for all education programs, and especially teacher training programs, are scarce, it is hard to divert any funds from direct program operations to evaluation purposes. I am convinced, however, that evaluation of the seminars is necessary. Only with a clear understanding of what is working in the seminars and what is not can we improve this program of teacher training.

We are lucky to have before the subcommittee two individuals who administer very exciting educational programs. The success of their programs proves how valuable training in the humanities can be and what a difference mid-career training can mean to classroom teachers.

Professor Norbert O. Schedler runs the Honors Program and Honors College at the University of Central Arkansas. Since 1981, Dr. Schedler has developed an exemplary program which offers students at a large public institution the advantages of a small college. The Honors Program is an interdisciplinary program which helps students see how religion, history, literature, and philosophy all throw light on what it means to be ..man. A study of the humanities is the core of the Honors Program, and Dr. Schedler has done much to challenge the students -- including future teachers -- who come through the UCA program d has exciting ideas about humanities education.

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I want to thank the subcommittee for the time to discuss his bill and I urge the members of the subcommittee to take a ose look at this legislation during its further consideration f the Higher Education Act reauthorization.

Senator **Stafford**. Well, thank you very much, Senator Bumpers. There may be some questions occurring to some of my colleagues who are not here, for the reason you know, that we are in session in the Senate and liable to be interrupted by rollcall votes and quorum calls during the morning.

I very much appreciate your very eloquent presentation with respect to your legislation. I share many of you views, personally, and I appreciate your introduction of the two who will follow you, and I tell you that you are welcome to stay, if your circumstances permit, or, we understand, if other circumstances require you to leave.

Senator **Bumpers**. I would like to stay through their testimony, Mr. Chairman, and thank you for the invitation.

Senator **Stafford**. All right. Thank you. In that event, I wonder if the first panel, Dr. Schedler, and Mr. Vivian, would come to the witness table.

However, first we will include in the record at this point a statement by Senator Pell who could not be here today.

[The statement by Senator Pell follows:]

STATEMENT BY SENATOR CLAIBORNE PELL

Senator **Pell**. Mr. Chairman, I would like to thank you, once again, for your valuable leadership in these hearings concerning the Reauthorization of the Higher Education Act. I am also very glad that you were able to include witnesses that will address one of my concerns—the availability and the need for child care.

As we all know, so well, beginning in 1981 the Congress authorized numerous reductions in social and domestic spending. Those cuts impacted most severely on low-income women with children. Women with children in Rhode Island in many cases were devastated by these cuts. Currently, there are over 11,000 children in Rhode Island under 6 years of age living in poverty.

I have believed and I continue to believe that the most effective way out of poverty is through education. But, in Rhode Island, as in many other States, poor women with children, women receiving AFDC benefits who are eligible to receive Pell grants, who could, with the help of Federal funds, obtain an education, cannot afford to accept a Pell grant.

What does this mean for poor women with children trying to improve their life by obtaining an education? It means, if an AFDC mother, eligible for a Pell grant, accepted the grant to attend one of Rhode Island's 2-year nursing programs, she would lose her child care assistance.

It means that a woman who could not afford an education but for a Pell grant, now, cannot obtain that education because she cannot afford to pay for child care.

I do not believe it is fair for young women with children trying to obtain a better life for themselves and for their children to be forced to elect between either educational assistance or child care assistance.

I am hopeful that today's testimony not only will educate us to the many dimensions of the problem but also will offer some solutions that could be addressed in the reauthorization of the Higher Education Act.

I do not want to diminish the importance of the testimony of our other witnesses by my focus on this issue. I am very much interested in hearing their testimony. I want to thank Senator Bumpers for taking the time our of his busy schedule to come before us today. I also am very glad that Dr. Edgerton will be providing this subcommittee with the findings of the Carnegie Foundation.

Senator **Stafford**. Speaking of English literacy, I was reminded of an old very short story, I would say to Senator Bumpers, actually en route from northern New York to Montreal, across the border in Canada, there used to be a sign, a large sign outside of a tavern which said, "English spoken; American understood."

I apologize for having to do this, but in view of the floor situation, and the numbers of panels this morning, it will be the floor's painful duty to impose a 5-minute limit on witnesses, and I am going to have to do that.

Your full statements will be in the record, as if they had been fully delivered, and so I must ask you to summarize, and I always feel badly to do that because I know how much work has gone into the preparation to be here, and the trouble you have gone to to travel to be here with us, which we appreciate.

But nevertheless, being a product of Calvin Coolidge country in Vermont, I will be imposing a 5-minute limit.

Dr. Schedler, we will hear you first.

STATEMENTS OF DR. NORBERT O. SCHEDLER, DIRECTOR, HONORS COLLEGE, UNIVERSITY OF CENTRAL ARKANSAS, CONWAY, AR; JAMES R. VIVIAN, DIRECTOR, YALE-NEW HAVEN TEACHERS INSTITUTE, YALE UNIVERSITY, NEW HAVEN, CT

Dr. **Schedler**. I believe I can cover this in 5 minutes.

Thank you, Senator Bumpers. I appreciate being given this opportunity to speak for bill S. 204. While it is very difficult for a philosopher, especially an Arkansas philosopher, I will limit myself to four points, but will be happy to respond to any questions you might have.

Point No. 1, the time is right. It is time, as Secretary Bennett says, "to reclaim a legacy." I have been in education for 46 years, and one of the blessings of growing old is seeing things in perspective.

What I have seen is that we, as a nation, act only when we perceive a crisis. When I grew up, the humanities were at the center of education. To be educated meant to be conversant with our literature, history, art, and all the ideas and images that are a part of our Western heritage.

But then the world changed and we responded to the crisis by emphasizing skills in research. Our economy required more skilled scientists.

The result was that the humanities began to play a minor role. While this is an involved story, my point is this: Our emphasis in education has swung from the humanities to skills in the natural sciences, to skills in the social sciences to where we are today, emphasizing skills that train students for the job market—whatever is in vogue at that particular time.

While the former continue to be done, still in response to the market, our business schools are full, computer science is the "rage," and the humanities are often viewed as something to be endured.

Even so, I think that one can see that the pendulum is going to swing again. A president of a major computer company says that he will hire only graduates in the liberal arts because they can at least read and write.

What good are computer skills if the student does not know what to put into the computer, or how to assess what comes out, he said.

My daughter, a biology and Spanish major, who just enrolled in one of the top graduate business schools, was told that they took very few business majors because they found that business majors made poor managers.

They preferred students from the humanities who could think for themselves. A recent study of scores on the LSAT, the GMAT, and the GRE, which test seniors graduating from college, showed that students majoring in traditional disciplines, including the humanities, scored higher than those who majored in the new disciplines. So, whether we are responding to a market need, or to the swing of the pendulum, to offset a previous swing, the humanities are again at the center of the discussion.

While I would prefer to argue that the humanities should always be at the heart of a good education, and that we need to stop having decisions made about education made for us by the marketplace, it does seem that a perceived crisis, and the swing of the pendulum are bringing us all to the same place.

Educators in the market agree: It is the right time to improve humanities education.

Point No. 2, the humanities function for a society in the way that memory does for an individual. The humanities are the collective memory of a people.

Just as memory is not the simple act of recalling events, but an activity that sorts, interprets, selects, and assesses what is remembered, so the humanities do this for a culture.

The key here is that memory involves a value system. Remembering is not an innocent act. What you remember tells me as much about you as about the past.

It tells me about what you value and what you consider significant Our literature, history, art, philosophy tells about what we value in our cultural memory.

A society devoid of such a memory, like a person with no memory, has no set of values to orient his life. To one who has taught for 20-plus years, it is clear to me that too many of our young people have cultural amnesia.

They find it hard to see an issue in contest; only how it affects them. Much like a child with a short memory can be nothing other than narcissistic. And so we speak of our young as being narcissistic. How could they be otherwise? They have no memory but their own memory.

We have failed to give them an adequate cultural memory, and all of this has profound effects for our democracy, when people find it hard to vote, other than out of selfinterest.

The humanities are also a mirror in which we see the image of what it means to be human. They are the guardians of the human image.

It is in conversation with these images that a person develops a self-image, a sense of justice, a sense of what is fitting, important, good, beautiful.

In other words, the humanities provide us with a whole set of criteria with which we judge our experience. A person who lacks the schema can absorb information but cannot evaluate it.

We need these assessing apparatus to sort out the words and images that bombard us each day. The great tragedy is that when we do not give our young these great images from our tradition, they become victims. A person without——.

Senator **STAFFORD**. Dr. Schedler, can you summarize in 1 minute now?

Dr. **SCHEDLER**. Yes; well, my third point is, that we as a nation are falling behind other nations of the developed world, and what I am saying there is, I think that it will take a national commitment, on our part, to catch up.

And my final point is that very often, when we think about the Government spending money, we worry about them spending it well, and I think in this case we can guarantee that that money will be spent well because we have a lot of good model programs in the humanities that can serve as models for these summer institutes that this bill proposes.

[The prepared statement of Dr. Schedler follows:]

IN SUPPORT OF THE HUMANITIES — BILL S204

by Dr. Norbert O. Schedler
Director of the Honors College
University of Central Arkansas
Conway, Arkansas 72032

Introduction

Thank you _________. I appreciate being given this opportunity to speak for Bill S204. Since the date was moved up for this hearing, I was not able to give you a prepared statement ahead of time. To make sure that I keep within the time frame, I will read my testimony quickly but will be happy to respond to any questions you might have. While it is very difficult for a philosopher, I will limit myself to four points.

Point One: The time is right.

There is little doubt that while the humanities have been left behind in response to market demands, it is now time, as Secretary Bennett says, "to reclaim a legacy." I've been in education for 46 years; and one of the blessings of growing old is seeing things in perspective. What I have seen is that we as a nation act only when we perceive a crisis. When I grew up, the humanities were at the center of education. To be educated meant to be conversant with our history, literature, art, all the ideas and images that are a part of our Western heritage. But then the world changed, and we responded to the crisis by emphasizing skills in research. Our economy required more skilled scientists. The result was that the humanities began to play a minor role. While this is an involved story, my point is this: Our emphasis in education has swung from the humanities to skills in the natural sciences to skills in the social sciences to where we are today, emphasizing skills that train students for the job market — whatever is in vogue at the particular time. While the former continue to be done, still in response to the market, our business schools are full, computer science is the rage, and the humanities are often viewed as something to be endured.

What caused these swings of the pendulum? Our schools gave our society what it perceived it needed. And the way you got the school system to respond required that you become a Jeremiah with prophecies of doom: Do this or else! Our crash program in math and science in response to Sputnik is just such an example. So there is a temptation for me, to get a positive hearing for this bill, to be an alarmist. But I am not by nature an alarmist. Even so, I think that one can see that the pendulum is going to swing again. A president of a major computer company says that he will hire only graduates in the liberal arts because they can at least read and write. "What good are computer skills if the student doesn't know what to put into the computer or how to assess what comes out," he said. My daughter — a biology and Spanish major — who just enrolled in one of the top graduate business schools, was told that they took very few business majors because they found that business majors made poor managers. They preferred students from the humanities who could think for themselves. A recent study of scores on LSAT, GMAT, and GRE, which test seniors graduating from college, showed that students majoring in traditional disciplines, including humanities, scored higher than those who majored in the new disciplines. So whether we are responding to a market need or to the swing of the pendulum to offset a previous swing, the humanities are again at the center of the discussion in education. While I would prefer to argue that the humanities should always be at the heart of a good education and that we need to stop having decisions about education made for us by the marketplace, it does seem that a perceived crisis and the swing of the pendulum are bringing us all to the same place: It is the right time to improve humanities education.

Point Two: What are the humanities and why are they critical for a healthy society? Or what would it be like to live without a memory?

The humanities function for a society in the way that memory does for an individual. The humanities are the collective memory of a people. Just as memory is not the simple act of recalling events but an activity that sorts, interprets, selects, and assesses what is remembered, so the humanities do this for a culture. The key here is that memory involves a value system. Remembering is not an innocent act. What you remember tells me as much about you as about the past. It tells me about what you value, what you consider significant, etc. Our literature, history, art, philosophy tell us about what we value in our cultural memory. A society devoid of a memory, like a person with no memory, has no set of values to orient his life. To one who has taught for twenty-plus years, it is clear to me that far too many of our young people have cultural amnesia. They find it hard to see an issue in context, only how it will affect them -- much like a child with a short memory can be nothing other than narcisstic. And so we speak of our ~~society~~ young as being narcisstic. How could they be otherwise? — They have no memory but their own memory. We have failed to give them an adequate cultural memory. And all of this has profound effects for our democracy when people find it hard to vote other than out of self-interest. I'm doubtful whether a culture can survive without its memory.

The humanities are also a mirror in which we see the image of what it means to be human, they are the guardians of the human image. It is in conversation with these images that a person develops a self-image, a sense of justice, a sense of what is fitting, important, good — in other words, the humanities provide us with a whole set of criteria with which we judge our experience. A person who lacks this schema can absorb information but can't evaluate it. We need this assessing apparatus to sort out the words and images that bombard us each day. The great tragedy is that, when we don't give our young these great images from our tradition, they become victims. A person without a memory and without a self-image drawn from our tradition is an easy prey for the ideologue, easily swayed by cant and the whim of the moment — in other words, a poor citizen of a democracy and a poor participant in our economic life. Needless to say, he is also a person unhappy with himself.

A person's self-esteem is directly related to one's ability to be articulate about who one is. And who one is is found in conversation with one's culture. Is it any wonder that so many of our young find it hard to follow a line of reasoning, see an issue in historical context, interpret a text, evaluate a claim, take a risk? Bombarded by words and images, they become omni-attentive -- changing the dial if they don't like it, but not knowing why or whether they should or shouldn't. You know we are in trouble as a society when the frequent response to a moral issue is: "Who's to say?"! There is no greater thrill for me as a teacher than to see a student come to a reasoned position on an issue and know why -- that is the most important process we can teach a student.

David Halberstam, in his The Best and the Brightest, shows that even our best graduates from our best schools have a hard time making critical decisions when it comes to moral choices -- and this at a time when the ethical dilemmas facing our business, government, military, medical, and cultural leaders should have highest priority. If our brightest and best, our future leaders, have a hard time seeing through to a reasoned and ethically sensitive conclusion, then this does not bode well for our future.

Point Three: We need a national commitment for improving humanities education.

We as a nation are falling behind the other nations of the developed world. I'm shocked when our students often cannot compete with many foreign students who come here to study. The foreign students know our language better, have better critical skills, are more aggressive intellectually, and know their traditions better than our students do theirs. When I travel abroad, I find that high school graduates in many countries are more literate than many of our college graduates. While I as a philosopher cringe at making this kind of crass appeal, if for no other reason, we need to take major steps to improve our education just to remain competitive. The Japanese are not only beating us economically, they do a much better job educating their young; and there is undoubtedly a relationship here. If we are going to take advantage of the time and pursue excellence in our educational system, we need to make a national commitment to do so. And that is exactly what this bill proposes. What is more, this bill proposes that we start where we must start, in the elementary and secondary schools.

Final Point: We can spend the money well because we have good models.

If this bill is passed, is there any reason to suppose that the money will be well-spent? I believe that there is, better than for many of the monies that we legislate. And we don't need another blue-ribbon committee to make another study — usually telling us what we are doing wrong. I'm reminded that the discipline of psychology began by studying abnormal people so that even today we think of it in this way. But psychology really became more helpful when the American psychologist Maslow said that what we need to study is healthy people to see what makes them so. Just so in spending this money, I would say that we are very fortunate in this country to have many excellent programs in the humanities to serve as models. One does not have to travel very far in any of our states to quickly find out where these programs are. The exciting part of this bill is that it provides each state with the opportunity to identify these programs and gather teachers to learn the techniques that have worked. And you can be sure that there will be a sharing of ideas across state boundaries. I wish I had time to tell you about the four programs that I've been involved with in Indiana and Arkansas — programs now being initiated elsewhere. All I know is that, when students are challenged with exciting programs in the humanities, the results are startling: Self-assessing persons who have good taste in sight, sound, word, and action — good citizens for our democracy.

Conclusion

Secretary of Education Bennett has said that we need to reclaim for our educational system the centrality of the humanities. I agree with him. He also says that this will not happen until the universities demand better humanities education in the high schools and elementary schools. Again, I agree. But how can we expect humanities teachers in secondary and elementary schools to do this if they themselves are not adequately prepared for it. And many are not, as they willingly admit. Many themselves went through college recently and received an inadequate education in the humanities. Many admit that they have never read the great texts that form our cultural legacy, rather they have been fed on second-hand summaries in textbooks — the fast food of American education. That is why Bill S204 is necessary. It will provide the occasion for us to bring these teachers back to the universities to equip them to do the job, trained by skilled teachers from model programs.

I support this bill introduced by Senator Bumpers because the time is right; our society needs to improve humanities education as much as it does math and science education; this will require a national commitment; and there are many good models to ensure that our money will be well-spent.

Charles Frankel said, "It is through the humanities that a civilized society talks to itself about things that matter most." I urge you to pass this bill so that our children can join in this conversation.

APPENDIX

In my testimony, I refer to four programs that are models of what can be done in the humanities when one has well-trained and committed teachers working with a carefully designed curriculum. A short description of each program follows.

Humanities in the Elementary Schools

Two humanities modules have been designed for elementary students and introduced into the school system in the state of Indiana. One module used as early as the third grade teaches students to identify basic informal fallacies. Twice a week the students read selected materials out of newspapers, speeches, case studies and learn how to find assumptions, canons of justification, rules of inference, etc. Tests show that these students' reading, writing, and comprehension skills increase dramatically. It is not long before the students are asking pointed questions of their teachers, becoming active rather than passive learners. They also become more willing to take academic risks.

The second module, believe it or not, is a course in moral reasoning. Let's not kid ourselves, students think about, argue about, and form their views on many moral issues at an early age. Why shouldn't this be done in public? This module is used at various grade levels, usually grades 5 through 7. The case-study approach is used. Students are given cases from business, medicine, politics, etc. After debating the issues in class, the students write position papers. The second step is to get the student to be aware of the moral reasoning that is used. But a step beyond values clarification is expected. Just because you have a right to your position and you now know what it is, that does not make you right. At this point, the student is introduced to the major ethical theories and must defend his/her position in conversation in the public forum. The results are, again, startling in terms of academic performance, sense of self, risktaking, etc.

Philosophy in the High Schools

"The introduction of philosophy on the high school level has done more to prepare students for college than any other course they take." This statement comes from students, faculty, parents, and administrators. And, of course, I'm prejudiced when I say that it does not surprise me. High school students are ready for a lot more than we suspect; and protecting them from ideas only gives them negative attitudes toward education and allows them to form views without the give and take of public discussion. The philosophy course is generally on the level that is taught to college freshmen. Again, the results are that students become more aggressive intellectually, learn how to analyze and ask questions, enjoy trying out their own views, etc. Students taking philosophy in high school have a much easier time making the transition into college.

UCA Honors College

The University of Central Arkansas established one of only fourteen Honors Colleges in the country in the fall of 1982. Each year sixty freshmen are recruited to enroll in a special sequence of courses centered in the liberating arts. The program lasts through the four years of college, culminating in the writing of an Honors Thesis. The success of the program has been extraordinary, and our program is now widely imitated. This year we will graduate our first class. Four of them have already won national recognition, receiving highly competitive awards and grants. At the heart of our program is getting students to become self-assessing, articulate persons who have taste in sight, sound, word, and action. Guest speakers who address our students are openly flabbergasted at what has happened in Arkansas. We are not surprised. It is really no miracle. It is simply bringing together good faculty, good students, a carefully designed curriculum, and a place to interact. Anyone interested in details of this program should write:

UCA Honors College
UCA P. O. Box 904
University of Central Arkansas
Conway, AR 72032

Project Arete (Greek word for excellence)

The recent Carnegie Study says that the two most wasted years in American education are the senior year of high school and the freshman year of college, especially for the gifted. What the University of Central Arkansas is proposing is a program that brings together gifted high school students, high school teachers, upper-level college Honors students, and college faculty. A specially designed set of courses would be offered for which the student would receive college credit. The courses would center around three activities: (1) critical thinking, (2) creative writing, and (3) oral presentations. In each activity, the students and faculty would work in small groups. College Honors students would serve as tutors. Faculty (high school and college) would together design the modules and serve in helping locate resources. The goals of the program would be to help students to critically analyze an argument, to learn imaginative and persuasive ways to present their ideas in writing, and to present their positions orally. The courses would be run on Wednesday afternoons through the wing semesters.

Some advantages: (1) Students learn from other students. Honors students have proven to be effective teachers in our Honors College program already. In teaching each other, both learn. (2) It is time that high school teachers and college teachers work together as colleagues. (3) The curriculum is designed in such a way that the high school teachers are learning more about their discipline from the college faculty while at the same time they are both involved in teaching what they are studying.

This program is currently under study but has not been implemented because of funding and time constraints.

UCA'S HONORS COLLEGE ACHIEVES NATIONAL RECOGNITION

UCA's Honors College is one of only fourteen in the country and its newest. After only three years in operation this pilot program has achieved national attention. The Southern Regional Honors Council made up of honors programs from Texas to Maryland to Florida has twice awarded the program its top grant and cited the program at the meeting of the National Honors Council for its "exemplary and innovating program." The design of this program has been exported nationally. The UCA director serves as a consultant for programs in three states and copies of the design of the program have been requested from California to Maine. Various foundations have supported its program with grants given in national competition, the latest being a grant from the GTE Foundation which in its award letter said, "This grant is made in recognition of your outstanding proposed lecture program focusing on Science, Technology, and Human Values."

Our first class, our Junior class, has already achieved national recognition. Ms. Nancy Gray received a National Endowment for the Humanities Summer Grant to study at the University of California, Berkeley. She was one of only fifteen chosen from across the nation. Mr. Ananda Shastri was chosen in national competition by the National Science Foundation to do research in physics at the Stanford University Linear Accelerator Center. Mr. Jeff Sharp was also chosen by the National Science Foundation to do research in bio-physics at the University of Tennessee. Three of our students have been chosen as interns with businesses in the state using their skills in chemistry and environmental planning.

Our students rank high on national tests. The average scores on these tests for incoming freshmen place our students equal to freshmen at Ivy League schools, Vanderbilt, etc. At the national meeting of Honors Programs, our student workshop was cited as one of the best. Next year we will graduate our first senior class. We expect many of them to enter the best graduate schools in the country.

The Honors College gives our students the opportunity to interact in small groups with nationally prominent scholars and public figures. A list of just a few:

Speaker	Topic
Hubert Dreyfus, University of California - Berkeley	Computers
Sherry Turkle, MIT	Computers
Shirley Chisholm, Mount Holyoke College	Politics
George McGovern, Washington D.C.	Politics
Tom Cronin, Colorado College	Politics
Doug Lenat, Stanford University	Computers
George Sessions, California - Sierra College	Environmental Studies
Tom McCrae, Rockefeller Foundation	Education
Ted Williams, Winrock International	Third World Economics
William Cole, CBS Correspondent	Modern Russia
William Harrison, Author	Revolution
Art Hobson, Physicist	Nuclear Weapons
James Carey, University of Illinois	Economics & Media Control

Our specific goal is to provide the quality of education one gets from a small college in the context of a large university with its wide variety of programs and diverse student population. We have the advantages of a small college in that the student/professor ratio is 15 to 1. The goal of our program is the development of confident, self-assessing persons who have "taste" in sight, sound, word, and action. This is achieved through emphasis on critical thinking and the art of inquiry. Students are engaged daily in conversation, extensive writing and re-writing of papers, scenario planning, and learning how to negotiate consensus. This can only be done in small groups with distinguished faculty who care. Enrollment in the College is limited to 130 students spread out over the four years. We also have the advantage of a large university with an excellent library, modern laboratory equipment, and diverse academic offerings. Our curriculum stresses interdisciplinary courses which acquaint students with a variety of perspectives including non-western cultures. Integral to our program is the interaction of students with non-academic persons from business, government and the professions.

Conclusion

The purpose of identifying these programs is to show that the bill introduced by Senator Dale Bumpers can draw on many fine programs that already exist. There are good programs which can serve as models so that the money authorized by this bill can be well spent. More information on these and other model programs in the humanities are available upon request from:

UCA Honors College
UCA P. O. Box 904
University of Central Arkansas
Conway, AR 72032

Senator **Stafford**. Thank you very much, sir.

Mr. Vivian, we will be glad to hear from you.

Mr. **Vivian**. Mr. Chairman, I appreciate and welcome this opportunity to summarize for the committee some of the reasons why I think that Senator Bumpers' bill is so precisely in the national interest, and so urgently required at the present time.

We face today a growing crisis in the preparation of our Nation's 2½ million public schoolteachers.

After 9 years of working precisely in the vein of the institutes that this bill would establish, I am convinced that only a Federal initiative of this magnitude, and with this purpose, can create the conditions for the systematic and widespread improvement of teaching and learning in the humanities in our Nation's schools.

After the many reports on our schools, there has been a rediscovery of the fact that whether or not the changes envisioned in the reports, enacted by State legislatures, mandated by State boards and local school districts, can be made will depend on the support, involvement and preparation of schoolteachers.

Last year this body and the other body passed legislation providing for a similar initiative with respect to the sciences and mathematics. The present bill complements that legislation by providing assistance to teachers of the other core subjects in schools. Furthermore, as Senator Bumpers has mentioned, Senate bill 204 builds upon and extends the highly valuable work of the National Endowment for the Humanities with schoolteachers, which Secretary William Bennett fostered, I should say "championed," during his tenure as its chairman.

The prepared testimony that I am providing to the committee describes and documents the concept, operation, and results of the Yale-New Haven Teachers Institute.

I offer this information as a preview or case study of the kind of activity that this bill would support, and to give the committee some indication of the results the Senators might expect to achieve by its passage.

I underscore three points from my testimony. First, with respect to the purpose of the bill * * * the purpose of the bill [section 1.b], "the enhancement of subject matter skills" of school teachers.

Mr. Chairman, the needs of teachers in our Nation's schools, in terms of their previous preparation to teach the subjects they are assigned—or misassigned—to teach, are compelling.

In New Haven, as nationally, a high proportion of teachers in the humanities, more than 40 percent in New Haven, did not major in college or graduate school in the subjects they teach.

This is more than ever the case with reassignments in times of low teacher turnover. Moreover, teachers obviously need to stay abreast of the developments in their fields.

It is ironic, then, at a time when lifelong learning is becoming increasingly a reality in our society, that we have yet fully to appreciate the fact that teachers themselves are the largest white-collar group in this country in need of professional development and continuing education.

This current state of teacher preparation will not be readily improved as a result of new teachers entering the profession and may, in fact, worsen because of the shortage of qualified teachers that, analysts project, will only increase in coming years.

From our experience in New Haven, I am convinced that continuing study and writing, and discussion with colleagues, about one's subject is no less important to teachers in schools than it is to teachers in the university.

Mr. Chairman, from our educational experiment in New Haven, we know that collaborative programs emphasizing subject matter, if they are conducted with teacher leadership, and on a collegial basis, can further prepare teachers in the subjects they teach, heighten their morale, increase their expectations of their students' ability to learn, encourage them to remain in teaching, and can in turn improve student learning. That is why, my second point, I believe that the provision of stipends to participants under this bill [section 2.b.6] is so important. This would, in my view, indicate legislative intent to promote in the proposed institutes the work of university and schoolteachers on a collegial basis. The stipends should be as generous as possible in order to make these institutes both demanding and professionally important.

My prepared testimony describes, at some length, the operation of collegiality in our own program and the benefits that accrue when teachers from universities and schools come together, on an equal basis, as members of the same profession, to discuss the common problems of teaching their disciplines.

Third, I am convinced that efforts at school improvement will not succeed without teacher leadership. We have too long held teachers responsible for the condition of our schools, without giving them responsibility, empowering them, to improve our schools.

Mr. Chairman, I believe we are in fact emerging, once again, from a crisis in confidence in our Nation's teachers, and I am therefore encouraged to find in this bill provision for involving the participating teachers "in the planning and design" of these institutes [section 2.b.1].

From our experience, I believe the most effective projects must invest real authority in teacher leadership and under that leadership develop organically, based on the needs that teachers themselves identify.

In short, I conclude that the institutes to be established under this bill, with its emphasis on subject matter, collegiality and teacher leadership, would help to renew and revitalize the profession, the professional life of teachers, and would thereby help both to attract and to retain those individuals whom we now wish to enter and to remain in teaching.

Because of the massiveness of the problem, only a bill like the one Senator Bumpers has introduced, could have a realistic chance of strengthening, in this way, teaching of those subjects which, as Senator Bumpers has said, are fundamental to the informed and humane citizenry on which our form of government depends. Speaking practically, congressional leadership through this legislation might stimulate States and local districts to develop similar initiatives that would augment the resources that this bill would provide.

Three caveats: First, the bill makes reference to "summer" institutes. I would hope that final legislation would allow for institutes of longer duration so that they might be more continuous, more demanding, and less isolated from school experience. Second, for reasons outlined in my testimony, I urge the inclusion, under section 2.b, of a provision that applicants be required to describe the ways in which they will emphasize through their institutes the classroom application of teachers' new learning. Third, I would hope that this legislation might encourage, or at least allow for, local institutes, because of the intensity, continuity of relationship, and ease of access to human and physical resources that local programs provide.

Mr. Chairman, teaching is central to the educational process and to the vitality of our schools, in and through which we develop our capacity as a people, and as a nation.

Based on our experience with the Yale-New Haven Teachers Institute, I think of no step this committee might take which would hold greater promise, or is more necessary, for strengthening teaching and learning of the humanities in our schools. Thank you.

[The prepared statement of Mr. Vivian follows:]

Testimony of
James R. Vivian, Director

THE YALE-NEW HAVEN TEACHERS INSTITUTE

Before the United States Senate

Subcommittee on Education, Arts, and Humanities

October 10, 1985

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Opening Statement

Testimony of James R. Vivian, Director

Yale-New Haven Teachers Institute

October 10, 1985

Senate Subcommittee on Education, Arts, and Humanities

Mr. Chairman, I appreciate and welcome this opportunity to summarize for the Committee the reasons I believe that S.204, which would provide a major national program to assist teachers in the humanities in order to improve the quality of instruction in these disciplines in our nation's elementary and secondary schools, is so precisely in the national interest and so urgently required.

We face today a growing crisis in the preparation of our nation's 2 1/2 million school teachers. After nine years of working precisely in the vein of the institutes that this Bill would establish, I am convinced that only a Federal initiative of this magnitude and with this purpose can create the conditions for the widespread and systematic improvement of teaching and learning of the humanities in our nation's schools.

After the many reports on our schools, there has been a rediscovery of the fact that whether or not the changes envisioned in the reports, enacted by state legislatures, and mandated by state boards and local school districts, can be made will depend on the support, involvement, and preparation of school teachers.

~~Two~~ Last year~~s~~ ~~ago~~ this body and the other body passed legislation providing for a similar initiative with respect to the sciences, mathematics, and foreign languages. The present Bill complements that legislation by providing assistance to teachers of the other core subjects in schools. Furthermore, S.204 builds upon and extends the valuable work of the National Endowment for the Humanities with school teachers, which Secretary William Bennett fostered during his tenure as its Chairman.

The prepared testimony that I am providing to the Committee describes and documents the concept, operation, and results of the Yale-New Haven Teachers Institute. I offer this information as a preview or case study of the kind of activity this bill would support--and to give the Committee some indication of the results the Senators might expect to achieve by its passage.

I underscore three points from my prepared testimony, by commenting on three provisions of the bill.

First, with respect to purpose (Section 1.b), "the enhancement of subject matter skills" of school teachers:

Mr. Chairman, the needs of teachers in our nation's schools, in terms of their previous preparation to teach the subjects they are assigned--or misassigned--to teach, are compelling. Nationally, as in New Haven, a high proportion of teachers in the humanities did not major in college or graduate school in their subjects, and many teachers, especially in times of low turnover, are reassigned to teach subjects that they have not taught recently, or have never taught before. Moreover, teachers need to stay abreast of their rapidly changing fields.

It is ironic, then, at a time when life-long learning is increasingly a reality in our society, that we have yet fully to appreciate the fact that teachers themselves are the largest white-collar group in need of professional development or continuing education.

This current state of teacher preparation will not be improved readily as a result of new teachers entering the profession, and may, in fact, worsen because of the shortages of qualified teachers that, analysts project, will increase in coming years.

From our experience in New Haven, I am convinced that continuing study and writing, and discussion with colleagues, about one's subject is no less important to teachers in schools than it is to teachers in the university. Mr. Chairman, from our educational experiment we know that collaborative programs emphasizing the subject matter preparation of teachers, if they are conducted with teacher leadership and on a collegial basis, can further prepare teachers in the subjects they teach, heighten their morale, increase their expectations of their students' ability to learn, encourage them to remain in teaching, and can, in turn, improve student learning.

That is--my second point--why I believe that the provision of stipends to participants under this Bill (Section 2.b.6) is so important. This would, in my view, indicate legislative intent to promote, in the proposed institutes, the work of university and school teachers together, on a collegial basis. The stipends should be as generous as possible in order to make these institutes both demanding and professionally important. My prepared testimony describes the operation of collegiality in our own program and the benefits that accrue when teachers from universities and schools come together on an equal basis, and as members of the same profession, to discuss the common problems of teaching their disciplines.

Third, I am convinced that efforts at school improvement will not succeed unless they have teacher leadership. In this country we have too often held teachers responsible for the condition of our schools without giving them responsibility and empowering them to improve our schools.

Mr. Chairman, I believe we are once again emerging from a crisis in confidence in our nation's teachers, and I am therefore encouraged to find in this Bill a provision for involving the participating teachers "in the planning and design" of these institutes (Section 2.b.1). From our experience, I believe the most effective projects invest real authority in teacher leadership and under that leadership develop organically, based on the needs that teachers themselves identify.

In short, I conclude that the institutes established under this Bill--with its emphasis on subject matter, collegiality, and teacher leadership--would help to renew and revitalize the profession, the professional life of teachers, and would therefore help both to attract and to retain those individuals whom we now wish to enter and to remain in teaching.

Because of the massiveness of the problem, only a Federal initiative like S.204 could have a realistic chance of strengthening, in this way, teaching of those subjects which are fundamental to the informed and humane citizenry on which our form of government depends. Speaking practically, Congressional leadership through this legislation might stimulate states and local districts to develop similar initiatives that would augment the resources that this Bill would provide.

Three caveats: First, the Bill makes reference to "summer" institutes. I would hope that final legislation would allow for institutes of longer duration so that they might be more continuous, more demanding, and less isolated from school experience. Second, for reasons outlined in my testimony, I urge the inclusion, under Section 2.b, of a provision that applicants be required to describe the ways in which they will emphasize through their institutes the classroom application of teachers' new learning. Third, I would hope that this legislation might encourage, or at least allow for, local institutes, because of the intensity, continuity of relationship, and ease of access to human and physical resources that local programs provide.

Mr. Chairman, teaching is central to the educational process and to the vitality of our schools, in and through which we develop our capacity as a people and as a nation. Based on our experience with the Yale-New Haven Teachers Institute, I think of no step this body might take which would hold greater promise, or is more necessary, for strengthening teaching and learning of the humanities in our schools.

Again, thank you for this opportunity.

The Historic and Current Importance of Programs that Foster Teaching Excellence

During the past two years our nation's public schools have received unprecedented national attention. Much of what has been said about the condition of public education has been highly critical, grimly portraying the quality of our country's 84,000 public schools. However, an encouraging result of this intensified scrutiny of schools has been a renewed appreciation of the ways in which communities can develop partnerships to improve their schools. In particular, the spotlight has been focused on the growing movement for university-school collaboration. One of the highest educational priorities for the 1980s and beyond, many analysts agree, is for schools and colleges to work together at the local level to improve the quality of elementary and secondary education.

Of all the ways schools and colleges might collaborate, there are no programs more important than those that concentrate on excellence in teaching. Many observers of our schools single out the present "crisis" in teaching as foremost among the problems of secondary schools. Based upon our experience with the Yale-New Haven Teachers Institute, I believe that the means for addressing some, though certainly not all, of these problems are in our hands and within our power. School-college collaboration, though not a panacea, can improve teaching in our schools.

The interrelation of schools and colleges has, of course, been a theme in the history of American education. During the rise of "universal" secondary education and the growth of higher education in America, colleges have had an increasing vested interest in the prior education of their own students. Higher education has served to shape secondary school curricula through admissions requirements, and college faculty have written curricula and textbooks for use directly in schools. Schools have sought to know the content of college courses so that they might prepare their students for college studies. Some colleges have muted the distinction between secondary and higher education by the early enrollment of high school students in college offerings, sometimes for credit, either on campus or in schools. Most important, higher education has provided the initial preparation, and often continuing education, for the individuals who teach in our schools.

Over the past century many of the most influential analysts of our schools have emphasized the fundamental importance of teaching to schools, and of the continuing engagement of teachers with the subjects they teach. In a series of widely-read essays published in 1893, Joseph M. Rice argued that "teachers must constantly endeavor to grow both in professional and in general intellectual strength" (Rice, 1893, p. 15). Having observed schools in thirty-six cities, Rice concluded that "by far the most progress has been made in those cities where the teachers themselves are the most earnest students.... [I]t is, after all, the teacher that makes the school." That same year, under President Charles W. Eliot, Harvard University instituted free courses for Cambridge teachers in new subjects in the sciences (Powell, 1950, p. 22). The following year, writing for the Committee of Ten, Eliot asserted that the changes the Committee recommended depended on teachers more highly trained during their initial preparation and while in service (Committee of Ten, 1893, pp. 17-18). The Carnegie Report of 1920 on The Professional Preparation of Teachers spoke of the importance of "regular periods of uninterrupted study" for teachers because "the present vitality of the school is directly involved" (Learned, 1920, p. 281). In 1945 the authors of the Harvard Report, General Education in a Free Society, stated that "there is no educational reform so important as the improvement of teaching," and that the greatest of the schools' needs was "a more rounded, longer, more continuing education of teachers" (Harvard Committee, 1945, pp. 90, 104). In 1963 James B. Conant's The Education of American Teachers recommended especially continuing study and in-service education for teachers (Conant, 1963, pp. 207-8).

In 1983, in the Carnegie Report on High School, Ernest L. Boyer called for greater emphasis on subject matter in the initial preparation of the teacher, and for "a planned continuing education program...[as] part of every teacher's professional life" (Boyer, 1983, p. 178). As Boyer later wrote in commenting on the numerous education studies and reports issued in 1983, "We are beginning to see that whatever is wrong with America's schools cannot be fixed without the help of those teachers already in the classrooms. Most of them will be there for years to come, and teachers must be viewed as part of the solution, not as part of the problem" (Boyer, 1984, p. 526).

The Yale-New Haven Teachers Institute and the bill this body is considering, then, are following precisely the course that educational leaders have repeatedly urged.

The Compelling Needs of Teachers

The needs of teachers in our schools are compelling and must be addressed. As is the case nationally, a high percentage of teachers in New Haven have minimal formal preparation in their subjects. Only 58.8 percent of New Haven secondary school teachers in the humanities majored in college or graduate school in the subjects they are teaching. Moreover, because scholarship in these fields is constantly changing, even those teachers who majored in the subjects they teach need to stay abreast of the developments in their fields.

In New Haven the current rate of teacher turnover is only about 2 percent. In so stable a teaching force many individuals are reassigned to teach subjects they either have not taught recently, or have never taught before. The magnitide of this problem nationally is only now, in the past two weeks, being publicized. Certainly, even though we need much better statistics, hundreds of thousands of teachers are currently teaching subjects in which they are neither trained nor certified. Furthermore, even in times of higher turnover of teachers, teaching assignments (or misassignments)--and therefore teachers' needs for further preparation and new classroom materials--change frequently in response to shifting priorities of schools, which are so influenced by social and political change.

This present state of teacher preparation in the humanities will not be readily improved as a result of new teachers entering the profession. Nationally, in 1981, the latest year for which we have these statistics, only 61.9 percent of newly graduated teachers in the arts and humanities were certified or eligible for certification in the field they were currently teaching (National Center for Education Statistics, 1983, p. 206). There are already well-publicized shortages of qualified teachers in some subjects and some areas of the country, even though the National Center for Education Statistics projects that the total demand nationally for secondary school teachers will continue to decline through 1988 (NCES, 1984, p. 36). These shortages are likely to become more widespread and severe at the secondary level as the children of the "baby boomlet," who began this year to increase total elementary school enrollment, begin in the mid-1990s to enter secondary schools (McCarthy, 1984, pp. 7-8).

In short, to strengthen teaching in public schools we must provide for the ongoing preparation of individuals already in, and those now entering, the profession.

Not only the demographics I have cited, but also current findings in education research underscore the importance of this work. I mention only four points:

1. We know that one of the most serious problems facing the profession is its inability to retain the individuals we especially wish to remain in teaching--the fact, for example, that those who do remain in teaching are disproportionately from the lower quintiles on standardized tests.
2. We know also that a principal reason for the loss of these people from teaching is the lack of intellectual stimulation, colleagial relationships, and serious discourse with adults--all of which should, but do not, characterize the profession.
3. We know that there is little correlation between length of experience in tbaching and effectiveness as a teacher, and
4. We know that the recency of the teacher's own learning is a most important factor in student learning.

In sum, and this I find ironic, at a time when life-long learning is increasingly a reality in our society, we have yet fully to appreciate the fact that teachers themselves are the largest white collar group in need of professional development and continuing education.

When we seek to foster university-school collaboration, therefore, it is not only a most natural, logical, and fruitful alliance, but also timely: The present vitality of our schools is, in fact, at stake.

Perhaps most important, collaborative work in this vein can begin to create the profession, the professional life, the conditions for teaching, that will help both to attract and to retain those individuals whom we now wish to enter the profession and whose initial preparation is also of such great concern to us.

All of this argues for the critical importance of S.204, which would, in my view, support collaborative programs that provide a collegial relationship among humanities teachers from schools and colleges so that they can address together, as colleagues, the common problems of teaching their disciplines.

The Partnership the Yale-New Haven Teachers Institute Represents

From the beginning, the administrations and teachers of Yale University and the New Haven Public Schools have worked in partnership in planning and guiding the Teachers Institute. In 1969, the Yale History Department and teachers from Lee High School began the History Education Project (HEP), which assisted a number of New Haven social studies teachers in developing improved curricula for courses in American history, world area studies, and urban studies. The success of HEP led to discussions about organizing a more ambitious and demanding program that would include additional disciplines. This was a specific response to the general question: How can institutions located in center-city areas become constructively involved in addressing problems of the communities where they reside, and on which they depend? The way that Yale and New Haven answered this question, we believed, might be of value to universities and school systems elsewhere.

In response to the request of the Superintendent of Schools and the Board of Education, the expansion of the earlier joint program in history began with the addition of seminars in English, the subject in which the Schools then saw the greatest need. In 1977, the Superintendent of Schools and the New Haven Board of Education joined with their counterparts from Yale to determine the philosophy and design of the new program.

Teachers and administrators from the University and the Schools quickly reached a consensus: The relationship between the University and the Schools must be both prominent and permanent within any viable larger relationship between Yale and New Haven, and, of the many ways Yale might aid New Haven, none is more logical than a program that shares Yale's educational resources with the Schools. Because of changing student needs, changing objectives set by the school system and each level of government, and changing scholarship, school curricula undergo constant revision. Because of Yale's strength in the academic disciplines, all agreed that developing curricula, further preparing teachers in the subjects they teach, and assisting teachers to keep abreast of changes in their fields are the ways that Yale can most readily assist the Schools.

The intent was not to create new resources at Yale; rather, it was to make available in a planned way Yale's existing strength, that is, to expand and institutionalize the work of University faculty members with their colleagues in the Schools. Even at this early stage, both Yale and the Schools sought a course of action that might have a substantial impact. The Teachers Institute was established, then, in 1978, as a joint program of Yale University and the New Haven Public Schools designed to strengthen teaching and thereby to improve student learning in our community's middle and high schools. The Teachers Institute has since become by far the most comprehensive, intensive, and sustained collaboraton of Yale faculty members with public school teachers.

Principles and Operation of the Institute

Four principles guide the program and constitute much of its distinctiveness: First, teachers of students at different levels can and must interact as colleagues to address the common problems of teaching their disciplines. Second, teacher leadership is crucial in efforts to revitalize public education. Third, teaching is central to the educational process, and teacher-developed materials are essential for student learning. Fourth, university-school collaboration must be long-term if it is to be truly effective.

I believe that the enactment of S.204 would enable schools and universities in many other places to establish programs with these features.

Collegiality. Each year about eighty New Haven school teachers, or almost 25 percent of all secondary school teachers in the humanities and the sciences, become Fellows of the Institute to work as colleagues with Yale faculty members on topics the teachers themselves have identified. The Institute is organized to foster collegiality. Through the Institute, teachers become full members of the Yale community and are listed in the University directory of faculty and staff. This has symbolic meaning in recognizing them as colleagues and practical value in making the human and physical resources of the University accessible to them. Teachers who complete the program successfully receive a stipend, as well as certification of their course of study, if they are pursuing an advanced degree.

The Institute's rigorous five-month program of talks, workshops, and seminars incorporates the Fellows' preparation of new curricular materials that they and other teachers will use in the coming school year. The materials Fellows write are compiled into a volume for each seminar and distributed to all New Haven teachers who might use them. Institute Representatives in each school promote widespread use of these materials by their colleagues.

A number of the University's most distinguished faculty members have given talks and led seminars in the program. The seminars, which are not regular courses, have the related and equally important purposes of increasing Fellows' background and developing new curricular materials on the seminar subjects. As a group, Fellows study the seminar subject generally by discussing common readings; individually, each Fellow selects a more limited aspect of the subject, and researches and develops it in depth for classroom use. Each seminar must balance these complementary, but in some ways distinct, activities.

Teacher Leadership. In order to practice collegiality in the day-to-day workings of the Institute, we devised an administrative structure that reflects the primacy of teachers. We did not wish the program to be something concocted by Yale and imposed upon the Fellows, nor did we wish to create different classes of Fellows by involving New Haven school administrators in administrative roles in the Institute. At the most practical level, we hoped to use peers to solve problems of absence or lateness, in order to avoid placing the Yale faculty members in authoritarian roles. Teachers serving as Institute Coordinators and Representatives have provided a solution to all these potential difficulties.

Through the Coordinators, the Institute seeks to ensure that its activities meet the needs of teachers and their students. Coordinators must be, and must intend to continue as, teachers in New Haven's public schools and must participate as Institute Fellows. Their major responsibilities include coordinating the activities of the School Representatives; taking major responsibility for the admissions process; and assisting with the long-range planning, evaluation, and national dissemination of the program.

In addition, in each middle and high school, one or two teachers represent their colleagues to assist with planning, organizing, and conducting Institute activities. Collectively the School Representatives represent every middle and high school teacher in the sciences, mathematics, and the humanities. They promote the Institute to other teachers in their school and enable them to have a direct role each year in designing the program. Specifically, they are responsible for maintaining frequent contact with, and soliciting the views of, all teachers in their school; promoting the use of Institute-developed curricular materials by their colleagues; and urging teachers who are not Institute Fellows to attend all activities open to them. School Representatives must intend to continue as teachers in New Haven's public middle or high schools, and must participate as Institute Fellows.

Through the Coordinators and School Representatives we have developed and maintained both rigorous expectations and an accommodating schedule so that there has been a high level of participation by New Haven teachers.

Our evaluator in 1980, Professor Robert Kellogg, Dean of the College at the University of Virginia, puts the matter well:

> In order that the "managerial" aspect of the school administration not be reflected in the operation of the Institute, a small group of teachers, the Institute Coordinators, serves to "represent" both the schools in the Institute and the Institute in the schools. The conception is ingenious, and the individuals who serve as Coordinators are, more than any other single element, crucial to the Institute's successful operation. The Coordinators I met were thoughtful

> and intelligent men and women who understood the purpose of the Institute and were effective representatives of the two institutions of which they were members.

To participate in so demanding a program, teachers must believe that the Institute can assist them in their own teaching and that, by extension, it can over time improve teaching and learning throughout the schools. Our evaluator in 1981, Ernest L. Boyer, wrote in his report:

> The project has teacher-coordinators in each participating school who clearly are committed and who pass on their enthusiasm to colleagues. One of the most impressive features of my visit was the after school session I had with these Coordinators from the New Haven schools. Arriving after a fatiguing day, the teachers turned, with enthusiasm, to key issues. How can the Institute best help us meet our goals? How can we improve our work?...The dedication and optimism of these teachers was impressive, almost touching....The significance of teacher leadership cannot be overstated.

Long-term Collaboration. The objective of the Teachers Institute is to involve annually as many school teachers as possible and to provide a range of seminar subjects that span the humanities and the sciences, so that the program can address school curricula, and thus students' education, broadly. More than 200 individual teachers have completed the program successfully from one to eight times, and 57 Yale faculty members have given Institute talks or led one or more seminars. Since 1978, the Institute has offered 51 different seminars in the arts and humanities, the social sciences, mathematics, and the physical and life sciences. Through these Institute seminars Fellows have developed more than 430 individual curriculum units for use in school courses.

The impact of the Institute over time will, we believe, be roughly proportional to the number of teachers who participate on a recurring basis. The influence of the program on teachers' preparation and curricula is cumulative; we must annually involve a large enough proportion of New Haven teachers to be credible in claiming that their participation can improve the public schools. Each curriculum unit a teacher writes represents only a fraction of all he or she teaches, and the very nature of the academic disciplines and their teaching is not static, but continually changing--in the humanities as well as in the sciences. Should the Institute ever become so limited in scope or duration as to appear trivial, it would cease to attract a sizable percentage of New Haven teachers and would become ineffectual. In one of its principal recommendations, the Rockefeller Commission on the Humanities concluded:

> Because schools change slowly, we endorse models of school-college collaboration that emphasize long-term cooperation. We recommend that more colleges or universities and school districts adopt such programs for their mutual benefit, and that funding sources sustain programs and administrative costs on a continuing basis. Programs of school-college collaboration offer the best opportunity to strengthen instruction in the schools while providing intellectual renewal for teachers. (Commission on the Humanities, 1980, p. 56)

After five years of developing the Teachers Institute as a model of university-school collaboration, Yale and New Haven therefore decided to seek a $4 million endowment to give the program a secure future. As our evaluator in 1983, Theodore R. Sizer, wrote:

> The Institute's work now reaches virtually every New Haven public middle or high school student. Over a third of the city's teachers have been directly involved, and more wish to join. A significant number will continue to stay involved, enjoying "intellectual renewal" as well as "curriculum development," as the National Commission on the Humanities expressed it. Such renewal does not come quickly. It benefits from sustained contact, from supportive conditions, from simmering.

Emphasis on Classroom Application. The Institute's approach differs from conventional modes of curriculum development. Classroom teachers, who best know their students' needs, work collegially and intensively with Yale faculty members, who are leading scholars in their fields. The Institute does not develop curricula on certain topics only because they are important in terms of recent scholarship; rather, it brings this current knowledge of a field to the assistance of teachers in the areas they identify as their main concerns. The Institute involves no "curriculum experts" in the usual sense, who would themselves prepare new materials, train teachers in short-term workshops to use these materials, and then expect the materials significantly to improve classroom teaching. Instead, the Institute demonstrates that long-term collaboration between school teachers and university scholars can produce curriculum materials of high quality pertinent to student needs, and can have a real influence on teaching and learning in schools.

What Fellows write, then, is not "curriculum" in the usual sense. They are not developing content and skill objectives for each course and grade level, nor are they preparing day-by-day lesson plans for their courses. Institute units also differ from traditional curricula in form; they are not composed mainly of lists and outlines of topics to be covered. Rather, teachers research and write in prose on a manageable topic within the seminar subject and strategies for introducing that topic in their own teaching.

By writing a curriculum unit, teachers think formally about the ways in which what they are learning can be applied in their own teaching; we emphasize that the Institute experience must have direct bearing on their own classes. This balance between academic preparation and practical, classroom application--as well as the depth and duration of our local collaborative relationship--are central features of the Yale-New Haven Teachers Institute.

The Institute's Concentration and Offerings in the Humanities

Through the Teachers Institute, the academic resources of a major institution are focused in a concentrated way on the school system in our own community. The Institute makes available the principal resources of the University, the faculty, to assist teachers in meeting their students' educational needs.

Each year about 50 middle and high school teachers in the humanities, more than half of whom are active throughout the year in the leadership of the program, take part as Fellows in the most intensive phase of the Institute, the five-month program of talks, workshops, and seminars that culminates with the Fellows' preparation of new curricular materials. The talks are intended to stimulate thinking and discussion and to point up interdisciplinary relationships in scholarship and teaching. Presenting Institute unit guidelines, the workshops explore the Fellows' own approaches to writing a curriculum unit and stress the audience for whom Fellows are writing: other teachers.

Each fall, the School Representatives canvass the teachers in their schools to determine the subjects that prospective Fellows would like the Institute to treat. The Institute then circulates descriptions of seminars that address teachers' interests, and the Institute Coordinators, after several meetings with the Representatives, ultimately select which seminars will be offered. In effect, New Haven teachers determine the subject matter for the program each year. In applying to the Institute, teachers describe curriculum unit topics on which they propose to work and the relationship of these topics both to Institute seminars and to courses they will teach in the coming school year. In this way, the seminar leaders can tailor the readings and discussions of the seminars to Fellows' specific interests and teaching needs.

The Institute's past offerings in the humanities have been concentrated in the disciplines of literature, history, and classical civilization. Many of the University's distinguished senior faculty members in the humanities, including the former Dean of Yale College and the Chairmen of the Departments of English, History, American Studies, and Spanish and Portuguese, have led Institute seminars. Several faculty members have led two, three, or four seminars in the program.

Seminars in literature have emphasized close textual analysis of and critical writing on major works of the American, European, and South American literary traditions. The Teachers Institute has offered a series of seminars which explored particular literary genres, including a survey of major literary genres, as well as concentrated studies in poetry, the short story, drama, biography, and autobiography. Thomas R. Whitaker, Professor and Chairman of English, for example, has led three seminars in drama. In each of the seminars concentrating on a particular genre, there has been an emphasis on how best to introduce middle and high school students to the genre, how to relate what students would study to their own experiences, and how, simultaneously, to teach analytical reading and composition skills.

Additional seminars in literature have taken a thematic approach. Michael G. Cooke, Professor of English and past Chairman of the University Advisory Council for the Teachers Institute, has led two such seminars. One considered the theme of the stranger in modern fiction, and a second explored the relationship between the oral tradition and the civilization in which it developed in three literary environments: classical Greek poetry and drama, British poetry and German folktales, and Black American fiction.

Several seminars have explored literature and history together. For example, Robin W. Winks, Randolph W. Townsend Jr. Professor of History and Master of Berkeley College, has led three seminars in the program in British history and literature, and American history and literature. Henry A. Turner, Professor and past Chairman of History and Master of Davenport College, led a seminar with two other colleagues on twentieth-century American history and literature. Alan Trachtenberg, Professor and Chairman of American Studies and Professor of English, also led a seminar in American literature and culture. In 1985, offerings in history and literature included a seminar on Central and South American history and literature led by Roberto Gonzalez-Echevarria, Professor of Spanish and Chairman of Spanish and Portuguese, and a seminar led by Jean-Christophe Agnew, Associate Professor of American Studies and History, on autobiography and nineteenth-century American history.

In history, the Institute's seminar offerings have included studies in American history; studies of state and local history; and approaches to history which pursue a particular methodology. One of several Institute seminars which have concentrated on American history, was, for example, a seminar led by Robert M. Cover, Chancellor Kent Professor of Law and Legal History, on the Constitution in American History and American Life.

Seminars on state and local history have offered the pedagogical advantages of teaching a subject where abundant primary resources are easily available and have also aided teachers in the presentation of major aspects of United States history. In this area, for example, Howard R. Lamar, former Dean of Yale College, William Robertson Coe Professor of American History, former Director of the Division of the Humanities, and Chairman of the University Advisory Council for the Teachers Institute, led a seminar on nineteenth-century industrial New Haven and the United States.

Among our offerings which have explored the usefulness of a particular methodology in the teaching of history, literature, and culture, were, for example, two seminars led by Jules D. Prown, Professor of History of Art, on art, artifacts, and material culture. Professor Prown's seminars investigated ways of discovering the cultural evidence found in objects in order to understand the culture that produced them.

The Institute has also offered seminars in classical civilization. For example, William G. Thalmann, Associate Professor of Classics and Director of Undergraduate Studies for Directed Studies Special Programs in the Humanities, led a seminar on Greek and Roman mythology from Homer through Virgil. Victor Bers, Associate Professor and Director of Graduate Studies in Classics, also led a seminar on Greek civilization which incorporated Greek literature, art, history, political thought, and philosophy.

When we started the Institute, some were skeptical that our project would attract distinguished Yale scholars and teachers. This kind of senior faculty participation is precisely what we intend to continue and what, with the enactment of S.204, might become more widespread throughout the nation.

The Demonstrated Value of the Institute to New Haven Teachers and Their Students

The results of the numerous evaluations of the Teachers Institute offer real encouragement that such collaborative programs can assist our schools in specific ways. The results are cumulative and growing: about one-third of all New Haven secondary school teachers in the humanities have completed successfully at least one year of the Institute. Many have participated from two to eight years.

Annual evaluations by outside consultants have been particularly encouraging. In his report in 1981, Ernest L. Boyer, former U.S. Commissioner of Education and current President of the Carnegie Foundation for the Advancement of Teaching, wrote: "The impact of the Yale-New Haven Institute far exceeded my expectations....Rarely does [school-college collaboration] get to the heart of the matter--helping teachers and advancing the quality of education. The Yale-New Haven teacher project is a dramatic exception to this rule." Theodore R. Sizer, former Dean of the Harvard Graduate School of Education and Chairman of the national Study of High Schools, wrote in his report in 1983:

> I share the view of my predecessor "visitors" that yours is a remarkable program, for its clear and useful focus, for its simplicity and--above all else--for the atmosphere of constructive collegiality between Yale and New Haven teachers that has been created....The arguments for the current scale are powerful. All too few school "reform" efforts get the scale right; almost universally they are too ambitious.

He concluded that "the healthy mixture of respect and realism among the participants in the Institute is as refreshing as it is striking. Many universities would not dare to attempt such a program, much less seek to endow it. Yale is notable for its commitment."

In 1981 we developed lengthy questionnaires for a more comprehensive examination of the influence of the Institute on teaching and learning in New Haven middle and high schools. At the same time, we began more systematically to examine literature in the field of education related to our program. The aim was to search the literature so that we might formulate questions for our study based upon current research findings. The following statements illustrate some of the areas where we found a reasonable degree of agreement in the education literature and which we therefore probed through the questionnaires.

--There is widespread agreement that much of pre-service teacher education lacks relevance to, and does not adequately prepare teachers for, teaching. Often associated with this view is criticism of an over-emphasis on "education" courses, and of too little emphasis on subject matter in the initial preparation of the teacher.

--There is an extensive literature critical of traditional in-service education for teachers, particularly of intensive, short-term in-service offerings, especially those which teachers have not first requested.

--There are numerous findings concerning teacher morale, "burn-out," and the stressfulness of teaching, particularly in urban school districts.

--A consistent body of research has indicated that teachers' expectations for their students affect students' performance in schools.

--Some literature points to the severe limitations of the traditional manner through which "experts" prepare curricula for teacher use, try to acquaint teachers with these new materials in short-term workshops, and then expect the curriculum materials somehow to affect student learning. This research suggests that it is essential that teachers using curricular materials have a prominent role in their development.

--A growing body of literature maintains that schools cannot be reformed from above or from outside, and that change will occur only with teacher leadership.

The three reports we wrote on the questionnaires administered in 1982 to New Haven middle and high school teachers describe the general aims of the study and the manner in which it was developed and administered, together with summaries of the principal findings, many of which relate to the above themes in the literature. (Please see appendix.) The responses of the 266 teachers who completed the questionnaires were entered on a computer. For purposes of the reports we analyzed three samples: teachers in the sciences, teachers in the humanities, and all teachers responding.

Overall, this analysis of the program showed that the Institute has significantly increased teachers' knowledge of their disciplines, raised their morale, heightened their expectations of their students' ability to learn, encouraged them to remain in teaching, and has in turn improved student learning.

Consistent with a central aim of the program, the materials that teachers develop appear to serve all students, not only those who are most successful in school. Both participants and teachers who have not been Fellows compared these curriculum units very favorably with commercially available materials and with materials they have prepared in other projects or on their own.

In light of the well-publicized frustrations of the teaching profession, it is especially heartening that so many teachers wish to participate on a recurring basis in so demanding a program. Considering that the proportion of teachers who say they would not choose teaching as a career if they could choose again has more than tripled between 1971 and 1981, and that research shows that the most academically capable teachers are most likely to leave teaching (Darling-Hammond, 1984, p.11), it is particularly encouraging that about half of the participating teachers reported that the Institute contributed to their decision to continue teaching in our public schools.

Some of the specific findings of the study were as follows: With respect to teacher morale, Institute Fellows in the humanities were about twice as likely as non-Fellows to report an increase in their satisfaction as teachers during the previous five years. In addition to the revitalizing effect that Institute participation has on teachers, the process of actually teaching Institute units may be similarly rewarding. Over half of the Fellows reported that Institute units are more enjoyable to teach than curricula they have prepared in other programs or on their own. Also, over half of the Fellows and almost half of the non-Fellows reported that Institute units developed by other teachers are more enjoyable to teach than commercially prepared curriculum materials.

The study confirmed that Fellows were twice as likely as non-participants to report an increase in their expectations of their students. This is particularly noteworthy because of the relationship between teacher expectations and student performance. The results of the study further substantiate the positive impact the Institute has had on student performance. Approximately half of the Fellows reported that their Institute units resulted in higher student attention, interest, motivation, and mastery than have other curricula they have prepared. Two-thirds of the Fellows stated that the Teachers Institute has led to an increase in student learning. Teachers also reported that Institute units are successful with students at all levels. In fact, more than half of the Fellows indicated that the curriculum units they prepared in the Institute have been successful with their least advanced students.

The results of the study highlight the benefits teachers believe they have received when they have participated more than once. The more times teachers had participated in the Institute, the more likely they were to report a large increase in their knowledge of their subject; more enjoyment teaching units by other Fellows; and higher student attention, motivation, and mastery resulting from their own Institute units and from units by other Fellows. They were also more likely to say that the process of writing an Institute unit improved both their teaching of writing and their own writing, and more likely to agree strongly that the Institute has had a large impact on, and has broadened, their teaching curriculum.

A 1985 survey, analyzing the use of Institute-developed curricular materials during the 1984-1985 school year, revealed that the number of school classes in which Institute-developed curriculum units are taught has more than doubled since 1982. Institute-developed units are taught in more than fifteen hundred school classes attended by more than thirty thousand students. A third of all New Haven secondary school teachers--whether or not they have been Fellows of the Institute--use Institute-developed units. Furthermore, 71 percent of the teachers who have used the units have used two or more, and 43 percent have used three or more. The overwhelming majority of these teachers (over 97 percent) stated that the curriculum units they had used were both innovative and successful.

With respect to the future, less than 10 percent of Fellows have said they do not intend to participate again in the Institute. About 80 percent of teachers who have not been Fellows have said they would take part, or would consider participating, in the future. This confirms our belief that the Institute will continue annually to attract first-time participants together with former participants on a recurring basis, and that the institutes established by S.204 would be not only beneficial, but also exceedingly well-received by teachers in other communities.

The Value of the Program to Yale University

The Institute also benefits Yale. As President A. Bartlett Giamatti pointed out in an interview on the December 7, 1980, David Susskind television program, "it is profoundly in our self interest to have coherent, well-taught, well-thought-out curricula" in our local schools and in secondary schools throughout the country. The Institute is important to Yale in terms of future students, and also in terms of what faculty members who lead Institute seminars gain from the program. They increase their knowledge about public schools and the background of many of their own students. Many faculty members speak also about how their experience in the Institute has influenced their own teaching and scholarship.

The Institute is the most logical and natural way for the University to be involved with pre-college education,--drawing on the University's existing strength and tradition of academic excellence. In the absence of a school or department of Education, the Institute serves, in effect, as a center for faculty in the humanities from throughout the institution who care deeply about both public education and the New Haven community and who wish to have a practical and constructive involvement. In the past, the Institute has drawn its faculty from both Yale College and the Graduate School, including the Departments of American Studies, Classics, English, History, and Spanish and Portuguese; and the Schools of Architecture, Art, Divinity, and Law.

The Institute is also of unquestioned value with respect to the

University's relationship with New Haven. Yale's future and New Haven's are bound together in important ways. The Institute represents what Yale as an educational institution most has to offer New Haven. It has become a principal bridge between the University and the City, part of the educational and human infrastructure of our community. The program, then, is a natural alliance of the University and Schools, together with the City Administration, business, and labor in our community.

As Dr. Boyer wrote in his 1981 evaluation of the program:

> The Institute is an educational venture and when measured on this yardstick it has been a great success. However, I cannot avoid observing that the project is a political success as well. It's no secret that the University and New Haven are two separate worlds. The challenge is to find a way for these worlds to meet. From my observation the Institute offers dramatic promise. It has put a human face on the University, opened doors, and focused resources where they are needed most. The University has gained enormously from the Institute and I conclude that for both educational and community reasons the program should be nurtured and sustained.

These are among the reasons the partnership also became an institutional priority for Yale. In 1984, President Giamatti commissioned the University Council on Priorities and Planning to examine Yale's relations with the City of New Haven. The Council chose to address three areas of the "town-gown" relationship; the dominant of these was public education. The Council wrote:

> Yale's principal mission is education. Thus, it seems only natural that Yale concentrate its community efforts upon helping the local public schools meet the enormous challenge of preparing a significantly poor and undereducated population to compete successfully in America's increasingly technical job market. The benefits of a stronger school system extend, moreover, beyond the students assisted directly. Improved public schools provide greater neighborhood stability, make the community a more attractive place to live and create a positive environment for business investment. Both the City and Yale gain appreciably once this process has set in. (Council on Priorities and Planning, 1984, pp. 26-27)

The Teachers Institute, in the Council's words, "appear[s] to offer the greatest prospects for making structural improvements in New Haven's public school system." The Institute assumed a prominent position in the Council's discussion of the University's involvement with public education. The Institute, the Council wrote, "deserve[s] to be expanded and sufficiently funded with the University's active assistance to ensure that [it] remains a permanent component of Yale's efforts to improve public education in New Haven." First among the Council's recommendations was their statement that a $4 million endowment should be established for the Institute.

National Implications of the Teachers Institute

In part because the demographic characteristics of the New Haven Public Schools mirror urban public education in the United States, the Institute's work has national implications. According to Department of Labor statistics, and in terms of the proportion of the population living below the Federally established poverty line, New Haven is the seventh poorest city in the nation. In our low income areas, 38.7 percent of residents are 18 years of age or younger. Of the students in New Haven's public secondary schools, more than 60 percent come from families receiving public assistance.

The percentage of minority students enrolled in New Haven's public schools is higher than in 39 of the 46 major urban school districts surveyed recently by the National School Boards Association. At 83 percent (mostly Black and Hispanic), the rate of minority student enrollment is approximately the same as in Chicago and higher than in Baltimore, Miami, Philadelphia, Birmingham, Cleveland, and St. Louis (National School Boards Association, 1983, p. 3). Nationally, the percentage of Black and Hispanic students entering the ninth grade who do not graduate is about twice as great as the proportion of White students who complete high school (National Coalition of Advocates for Students, 1985, p. 9). In New Haven, 45 percent of those individuals entering the ninth grade do not graduate.

As Adrienne Y. Bailey, Vice President for Academic Affairs of the College Board, points out:

> Since this demographic pattern [in New Haven] will become increasingly characteristic of public school enrollment throughout the United States, the Yale-New Haven Teachers Institute has chosen, in a sense, to wrestle with the nation's educational future. And yet, although the reputation and influence of Yale University extend far beyond the precincts of New Haven, the Institute has chosen to limit its work to the public schools of that city. This sharply focused effort increases the likelihood of achieving significant progress toward the goals of educational quality and equality. (Vivian, 1985, p. vii)

During its first seven years in operation, the Teachers Institute has, in fact, become a nationally recognized leader in the growing movement for university-school collaboration.

As early as 1980, the national Commission on the Humanities cited the Institute as a promising model of university-school collaboration that "integrates curriculum development with intellectual renewal for teachers." In 1982, the National Endowment for the Humanities awarded an unsolicited grant to encourage us to disseminate our model nationally, and they revised NEH guidelines to encourage other communities to develop programs similar to ours. In 1983 the College Board asked the Institute to join the Educational EQuality Project's Models Program to serve as a resource for other institutions and schools. In 1984, the American Association for Higher Education, Council of Chief State School Officers, National Association of Secondary School Principals, and the Carnegie Foundation for the Advancement of Teaching singled out the Institute as a "pioneering and nationally significant program with an exemplary approach for improving public education." Former Secretary of Education Terrel Bell chaired the jury that selected the Teachers Institute to receive an award in October, 1984 from the Council for the Advancement and Support of Education as one of the five best collaborative programs in the nation. In 1985 we presented our program at the second National Symposium on Private Sector Initiatives, sponsored by the White House.

As a result of the attention the Institute has received, we have had hundreds of inquiries from across the country. We feel a special responsibility to assist other communities that wish to establish similar programs. During the past three years, Institute participants and staff have made numerous consulting visits to other institutions and have made presentations at conferences in many states. As a result, programs patterned on the Institute have been established at diverse universities and colleges throughout the country, for example, at the University of New Mexico, Lehigh University, Canisius College, the University of Hartford, the University of California at Santa Cruz, and Duke University. The continuing operation of the Teachers Institute as a visible model of university-school partnerships can, we believe, contribute to the national movement for partnerships in education and to the participation of colleges and universities within the movement. This is one of the reasons we established a National Advisory Committee, composed of fifteen Americans distinguished in the fields of education, private philanthropy, and public policy, to develop new plans for the further national dissemination of the program. This is also to say that we have been in the fortunate position to learn about the large number of institutions and schools across the country who would wish to undertake this work in an intensive way if the passage of S.204 made available the funds for them to do so. In this way S.204 would be of enormous efficacy in assisting this national movement which, in our view, is crucial to the future of public education.

Norman Francis, President of Xavier University, a member of both the National Commission on Excellence in Education and the Carnegie Panel on the High School, wrote in his 1984 evaluation of the Teachers Institute:

> Academic change does not come quickly or easily. Perhaps that is how it should be. When these changes involve cooperative ventures between like educational institutions or departments within institutions, such movement is additionally slow, and often it is strapped with personal interventions by some to avoid losing cherished privileges. It is known as "protecting turf." To achieve what is considered, nationally, as important for public schools, namely, college and university cooperative efforts with public school systems, one must scale all the traditional barriers, and cross one, on the higher education side, namely, the "it's none of our business" attitude.
>
> The Yale-New Haven Institute has traversed all of these "burning sands" and has done so prior to the recent national interests. Its experience and current presence as a cooperative venture in and of itself argues for the absolute need for it to continue to be an example of how these difficult change ventures between colleges and universities and schools can be developed and nurtured. Its efforts have inestimable value for a number of local school districts, colleges and universities, all of which are talking about the need to work together, but are uncertain about how and where to start.
>
> Aside from the current and future educational value the Institute has for the New Haven school system, if anything happened to it, the loss would have national impact and not be simply a local loss. Such a demise would be the self-fulfilling prophecy for those who say it can't be done, and a serious blow to those who know it can and are making efforts in their local districts. And as it happens much too frequently, others would bumble about trying to invent a wheel that has already been perfected, and, in not knowing, spend precious funds on form that could best be used on substance.

> The above is offered to affirm that the Institute should be maintained in its present concept, and that resources must be sought to place it on stable and appropriate funding levels. Present use of funds is prudent and well managed. This may be one of the highest rates of return on funds invested in an educational project.

These are among the reasons I believe the expenditures envisioned by S.204 are warranted, even at the present time fiscally.

Financial Support

The cost of the Institute stems from our belief that the program is, for University and School participants, a vital professional activity for which they should be remunerated accordingly. Yale and the New Haven Schools together support a major share of the total cost of the program. A considerable portion of the remaining need has been met for the past seven years through strong support from the National Endowment for the Humanities. We have been pleased also to receive operating funds from numerous foundations and corporations--including Aetna Life and Casualty Foundation, The Harlan E. Anderson Foundation, The Bay Foundation, The College Board, The Ford Foundation, The New Haven Foundation, The Anne S. Richardson Fund, Atlantic Richfield Foundation, The Rockefeller Foundation, the New York Times Company Foundation, Xerox Foundation and more than fifty local businesses which see our efforts to improve the public schools as important to the economic development of our city and region.

The Significance of the Institute for Community Development

In 1981 the Teachers Institute began to conduct campaigns to enlist the support of local corporations. The first campaign was headed by the Chairman of the New Haven Development Commission. Through these campaigns more than 50 local corporations, ranging from large lending institutions to manufacturing concerns to small businesses, joined in support of our effort to improve teaching of the central academic subjects in our public schools.

Many New Haven business executives recognize that a strong public school system fulfills a basic need for employees, their families, and the community generally. They see that the quality of our public schools is vitally important for attracting and retaining corporations in New Haven, that it is linked to economic development, to the tax base, and to the economic healthy of our community and region. They realize that the school system is a major factor in families' decisions about where to live, where they therefore pay taxes and purchase goods and services. Not only is the monetary support of these corporations for the Institute important, the corporate executives with whom we have worked have also become more knowledgeable about the positive developments in our schools. In that these individuals are leaders in our community, by involving them in improving our schools, we can foster greater public support for public education.

No single factor is more important to the economic and general well being of our community than a strong public school system. By supporting the Teachers Institute, local corporations participate in making available to our public school system one of our community's main educational resources, the faculty of Yale University. From meetings we have held recently with leaders from the New Haven community, we believe that local corporations will therefore be particularly responsive to our campaign to endow the Institute. The present endowment campaign underscores our deep belief in the long-term significance of the Teachers Institute to the University and to our community's public schools. It also represents our determination to demonstrate that effective collaborative programs can be not only developed, but also sustained.

Recommendations for the Establishment of Similar Programs

There is, in my view, no more important recommendation in the Carnegie Foundation Special Report on School and College than the one that calls for universities and schools to develop genuine partnerships based on the needs of schools as determined by their principals and teachers (Maeroff, 1983, p. viii). Both aspects of this recommendation are essential: not only that universities and schools work together, but especially that those of us in higher education encourage our colleagues in schools to show us the ways we can marshall our resources to address their needs.

From our experience in New Haven, I would offer the following guidelines for the successful implementation of the Carnegie recommendation.

Definitions. "Collaboration" is a term currently used to describe quite varied activities. I mean by the term something specific. Collaboration arises from a recognition of mutual interest between school and college--between city and college--that must become more widespread if we are to improve our public schools. Within a partnership of institutions there should be a coequal relationship of colleagues, a volunteer association of individuals who choose to work together, of allies in league to improve our schools. An equal importance must be attached to what each partner brings to the relationship. The aim is to work together without everybody changing place.

Resources. Because institutional and other resources are never adequate, an early step in establishing a collaborative program is to assess the resources that can be made available to meet the needs of teachers, and then to apply these resources in an intensive way where the need is greatest. Institutional support must come from both sides of the partnership; tangible and highly visible evidence of such commitment is essential. Participants should be compensated as generously as possible, in order to make their collaboration both demanding and professionally important.

Aims. We especially need to encourage partnerships between schools and colleges and universities that concentrate on teaching and on the continuing engagement of teachers with their fields. Cooperative efforts should insist on a direct application in school classrooms, and not merely assume that their work together will somehow improve teaching and learning in the classroom.

Limitations. A tendency in establishing collaborative programs--as in school reform efforts generally--is to be too ambitious. Programs will succeed only if they have well-defined and manageable goals; they should avoid making impossible claims.

Evaluation. Precisely because collaborative projects can achieve only limited, though important, results, participants must be confident that their efforts are worthwhile. An ongoing evaluation process is therefore integral to a program's design and should be used perennially to refine both goals and activities. Because collaborative programs are often, unfortunately, seen as non-traditional--because they may not be regarded as central to the mission of either institutional partner--they have a special burden for providing sound evidence of their results.

Teacher Leadership. The most successful projects may well begin small, investing real authority in teacher leadership and developing organically based on the needs teachers identify. In that way, programs are not guided by preconceptions, but grow from their own local experience. Efforts at school improvement will not succeed without teacher leadership. In this country we have too long held teachers responsible for the condition of our schools without giving them responsibility--empowering them--to improve our schools.

Duration. For these reasons, and for the benefits to be lasting, effective collaborative programs must be long-term.

Finally, an observation: In universities we assume that ongoing scholarship is indispensable to good teaching. The Yale New Haven Teachers Institute demonstrates the similar value to school teachers of ongoing study and writing about their discipline. Through colleagueship with teachers from the University, this continuing engagement with their subjects becomes part of school teachers' professional lives. This is precisely what s.204 would make possible for thousands of teachers in the humanities in all of the States.

Conclusion

In October 1983, President Reagan launched the National Partnerships in Education Program and proclaimed the school year 1983-84 as the National Year of Partnerships in Education. As a result of the President's initiative, the Department of Education surveyed over 9,300 school districts nationwide for existing partnerships. Of the 46,000 partnerships they identified, only 5.2 percent are partnerships involving colleges and universities (U.S. Department of Education, 1985, Appendix Table IIIA). Within this relatively small number of partnerships of schools with colleges and universities, the Department cited the Teachers Institute as "exemplary" and "among the most substantial and effective." In short, colleges and universities at present play only a small part in the national partnership movement, and, among partnerships involving colleges and universities, the Teachers Institute has a prominent position.

The enactment of S.204 would contribute in a major way to sustaining the national movement for partnerships in education and would greatly increase the participation of colleges and universities within the movement. Based on my experience with the Teachers Institute, I think of no step this body might take which would hold greater promise, or is more urgently required, for strengthening teaching and learning of the humanities in the nation's schools.

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Appendix

National Studies and Reports Citing the Teachers Institute

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School and College: Partnerships in Education; A Carnegie Foundation Special Report (1983), pages 36-42.

High School: A Report on Secondary Education in America by the Carnegie Foundation for the Advancement of Teaching (1983), pages 260-262.

Evaluations of the Teachers Institute by:

Robert Kellogg
Ernest L. Boyer
Theodore R. Sizer
Norman C. Francis

Report on Questionnaires Administered in 1982 to New Haven Teachers in the Humanities

Transcript of the Presentation of the Yale-New Haven Teachers Institute as a Case Study, February 17, 1983, at the Yale Conference on Excellence in Teaching

Selected Articles on the Teachers Institute

Senator **Stafford.** Thank you very much, Mr. Vivian. I will say that the chairman of this committee always listens carefully to somebody from Yale, since it is a neighboring institution, and dissidents from Yale a couple of hundred years ago founded the college in Vermont that was my alma mater.

I will comment now, I did not at the end of Senator Bumpers' testimony, that much as I approved of a considerable part of the Gramm-Rudman amendment yesterday, I was unable to support it because of my concern for the future of education, if it exists through all of the ramifications, in both the House and the Senate in its present form.

And I would be deeply concerned about the opportunity to fund this program, even if we authorized it, if Gramm-Rudman in fact is the final product of the Congress, and signed by the President.

I have no questions, personally. I appreciate what you both have said. I think I am basically in agreement with what you are saying but I would be glad to give the opportunity to you, Senator Bumpers, if you have any questions.

Senator **Bumpers.** Mr. Chairman, I just want to say that I listened very carefully to both of their statements, and it is one of those things I wish everybody in America could hear. I thought they were both exceedingly good statements, and not—of course it helps, because they support my bill—but still, every point that was made this morning was dramatic, and meaningful, and in my opinion, unarguable.

And so it just reinforces my belief that our spending priorities here are really out of whack, and I might also say that I voted for Gramm-Rudman with considerable trepidation.

I hope that in the final analysis, some of the concerns that you and I have, which really were never quite fully answered on the floor of the Senate, will be taken care of.

It is very difficult, in the political arena today, to take issue with that. There is no point debating that here, except to say that if the effect of that bill is to eliminate the chances of legislation like this No. 1 or to curb education funds that are already in the Higher Education Act, that we would have committed a gross travesty upon the American people yesterday.

The truth of the matter is—and the chairman knows it as well as anybody—we are going in the wrong direction. For those people who are only concerned with international trade—we have 16,000 people in this country who either speak Japanese or are studying Japanese. Virtually every student in Japan has some modicum of knowledge of English.

And so just from a trade standpoint, to say nothing of the peace process, or understanding of the culture, to say nothing about the survival of our system—I can think of nothing that is more important, yet we continue to shoot ourselves in the foot around here.

Senator **Stafford.** Thank you very much, Senator, and thank you very much, gentlemen.

Senator **Bumpers.** Let me express my personal thanks to both of you. They were both great statements.

Senator **Stafford.** The next panel will be Dr. Otis T. Sproul, dean, College of Engineering and Physical Science at the University of New Hampshire, and Dr. Bryce Jordan, who is the president of Penn State University, University Park, PA.

Gentlemen, we will hold just a minute because we may have a rollcall starting, and if we do, I would rather recess until I can get back here, rather than interrupt in the middle.

I guess I can say that we are safe for the moment. If it is agreeable with you, gentlemen, and with apologies for the necessity of confining oral statements to summaries in 5 minutes, I will start with you, Dr. Sproul.

I will say to Dr. Jordan, as president of Penn State, I am not sure whether I could stop you any better than I could stop your football team in 5 minutes, but I will probably try.

Dr. Sproul.

STATEMENTS OF DR. OTIS T. SPROUL, DEAN, COLLEGE OF ENGINEERING AND PHYSICAL SCIENCE, UNIVERSITY OF NEW HAMPSHIRE, DURHAM, NH; AND DR. BRYCE JORDAN, PRESIDENT, PENN STATE UNIVERSITY, UNIVERSITY PARK, PA

Dr. SPROUL. Thank you, Mr. Chairman. I would like to ask that my written remarks be included in the hearing record.

Senator STAFFORD. Let me assure you that the full statements of all witnesses will appear in the record as if read, and all appendixes thereto will appear also in the record.

Dr. SPROUL. Thank you. On behalf of the American Society for Engineering Education, I would like to thank you for inviting me here today to join in your discussions of title VII of the Higher Education Act.

As this country becomes more technology oriented, our engineering schools will be called upon, as never before, to turn out innovative people and research that will keep us on top of the world's economy.

Sustaining a grade A quality education and research environment will become an ever-more-pressing priority. Overcrowded classrooms, obsolete and overworked equipment, and the loss of our graduate students, many of them possibly very first-rate faculty, to industry, all present special challenges.

I would like to focus my remarks today on just one of these problems: The state of our academic engineering laboratories.

In particular I hope to discuss an issue that rarely wins the high-profile attention it merits: The special costs of keeping our laboratory equipment in top shape.

Acquiring hands-on experience on modern laboratory equipment is essential to the preparation of skilled engineers. It can be likened to the importance of clinical experiences for physicians.

You would not want your surgeon to operate on you, never having practiced in a laboratory setting. Funds for the maintenance of academic engineering equipment are as vital an issue as the acquisition of the equipment itself.

I believe that title VII represents an excellent opportunity to address this little understood problem.

Some schools find themselves in the perverse situation of having to turn down equipment gifts from industry because they believe that on occasion it would be imprudent to accept something which they cannot maintain.

At my own school, in a number of cases, particularly in mechanical and electrical engineering, we simply have not pursued potential gifts, including major equipment gifts, because of the very high maintenance costs associated with their utilization in those departments.

Grants are another vital channel through which higher education receives equipment. In the case of research grants, where equipment is purchased and dedicated to one project, maintenance costs are sometimes taken care of.

Occasionally, grants allow for a certain amount of care of equipment. However, for equipment that is used for more than a single project, or is instructional in nature, little or no accommodation for wear and tear of that equipment exists.

The equipment grants authorized under title VII of the Higher Education Act appear not to address, directly, the costs of maintaining purchased or leased equipment chosen by a recipient.

We would suggest a simple change to recognize maintenance as an integral part of a total equipment package under this title.

By allowing 10 to 15 percent of a given grant to be used to arrange for maintenance of the equipment purchased or leased, you would give schools much needed flexibility in caring for their equipment.

I believe that reserving a certain percentage of equipment grants under title VII for maintenance arrangements is absolutely essential. Indeed, as I mentioned at the outset of this testimony, it is a vital issue to America's engineering colleges as it also is to the acquisition of that equipment in the first place.

I cannot urge your committee too strongly to join me in addressing this problem. It is one that will not go away. Rather, it is worsening as we sit here talking about it.

Thank you, and I would be delighted to respond to any questions which you may have.

[The prepared statement of Dr. Sproul and responses to questions submitted by Senator Hatch follow:]

Testimony of

Otis J. Sproul

Dean of the College of Engineering and Physical Sciences

University of New Hampshire

on the topic of

"Providing Funds For Equipment Maintenance Under Title VII

Of The Higher Education Act of 1965"

Before the

Education, Arts and Humanities Subcommittee

U.S. Senate

Washington, D.C.

October 10, 1985

CHAIRMAN STAFFORD AND MEMBERS OF THE SUBCOMMITTEE:

Good morning. On behalf of the American Society for Engineering Education, I'd like to thank you for inviting me here today to join in your discussions of Title VII of the Higher Education Act.

The American Society for Engineering Education draws its membership from a spectrum of individuals and groups which share a deep concern for the health of the country's engineering education system. Members include the professional engineering societies, over 125 engineering-oriented industries, several government agencies, and over 10,000 individuals, most of whom are faculty. In addition, the more than 250 accredited engineering schools of the country -- including the University of New Hampshire -- belong to ASEE and find special representation through the Engineering Deans Council, the official national organization of the deans of engineering. The entire membership of ASEE is bound together by a common interest in assuring that this country's future engineers receive the finest education available.

The field of engineering and the engineers who practice across its more than two dozen disciplines make an incalculable contribution to this country's social, economic, and military strength. Strong national security, an improved standard of living, and unchallenged world technological leadership are obvious benefits to be had from a healthy U.S. engineering enterprise. As this country becomes more technology-oriented, our engineering schools will be called upon as never before to turn out the innovative people and research that will keep us on top. Sustaining a grade-A-quality educational and research environment will become an ever more pressing priority. Paradoxically, pressure to turn out the quality and quantity of well-educated engineers needed by industry has already begun to threaten the ability of our schools to provide the finest education possible. Overcrowded classrooms, obsolete and overworked equipment, and the loss of graduate students -- potential first-rate faculty -- to industry all present special challenges.

The question is not, "Can we meet the challenge?" We must. The question is "How?"

I would like to focus my remarks today on just one of those problems: The state of our academic engineering laboratories. In particular I hope to discuss an issue that rarely wins the high-profile attention it merits -- the special cost of keeping our laboratory equipment in top shape.

In the remarks that follow, I will explain exactly why funds for the maintenance of academic engineering equipment is as vital an issue as the acquisition of the equipment itself. I believe that Title VII represents an excellent opportunity to address this little-understood problem.

Acquiring hands-on experience on modern laboratory equipment is essential to the preparation of skilled engineers. It can be likened to the importance of clinical experiences for physicians. You would not want your surgeon to operate on you never having practiced his skills in a laboratory setting. But, many of our students are learning their fundamental engineering skills on equipment that was in place before they were born.

You may be familiar with several of the studies conducted in recent years which detail the worsening condition of our academic laboratories. The most commonly quoted study of engineering school laboratories is probably a 1982 report by the National Society of Professional Engineers which describes a need for $2.2 billion in new instructional equipment to bring our labs up-to-speed with industrial engineering practice. This estimate does NOT include computers.

The similarly desperate need for new research equipment was vividly evidenced three years ago by the response of schools to the Department of Defense's then new University Research Instrumentation Program (URIP): DOD received 2,500 proposals representing requests for $646 million worth of equipment. The program had a total of $30 million to award that year.

This $2 billion-plus problem is not going to be solved overnight. However, we are seeing -- quite possibly in part as a result of the 1981-established R&D tax credit -- more gifts of equipment to schools from industry. Such gifts are vital to promoting innovation and creativity among engineering students. DOD is hoping to supplement its URIProgram through part of a new FY86 initiative. Active partnerships among schools, industry and government will be vital to tackle this monumental equipment vacuum.

As those who are affected most by the quality of U.S. engineering education pull together to respond to this crucial concern, it will be imperative to address very explicitly the too-often overlooked, too-little understood costs of maintaining the sophisticated equipment that fills our labs. High student enrollments, coupled with limited equipment, have increased wear-and-tear on our most important laboratory resources, particularly those used for instruction. It only makes good sense to be sure that we get the longest, most productive life out of each piece of equipment that we have.

Let me give you an example of an important piece of laboratory equipment that requires expert maintenance to keep it functioning. Used to measure fluid velocities, a "hot wire anemometer" consists, simply described, of an extremely small wire -- smaller than a human hair -- supported on a probe and placed in a fluid stream. The wire is electrically heated and the stream cools the wire. The amount of energy taken from the wire is measured electronically and reveals the velocity in the small region where the wire is located. To prevent any distortions in the results, vigilant maintenance of this instrument is vital.

Care for this type of anemometer runs about 15 percent per year of the purchase price, a little higher than the 10 percent per annum rule-of-thumb frequently used for most engineering laboratory equipment. Two other devices that address the same fluid velocity problem through the use of laser light (Laser Doppler Anemometer and Laser Doppler Velocimeter) cost anywhere from $100,000 to $500,000 each.

The anemometer is only one example of research or instructional equipment that needs regular care to perform its function. A recent survey by the National Science Foundation of 1,200 physical and computer science and engineering departments noted that no less than 80 percent of the research instrument systems in the $10,000 to $1 million range required some type of maintenance in FY82. The same survey noted that "in effect, for every dollar spent to acquire new research equipment, an additional 25 cents was spent to maintain and repair existing equipment." Clearly, the cost of maintaining equipment is an integral factor in running a laboratory.

Maintenance can be handled several ways. Service contracts provide perhaps the most comprehensive coverage. The price tag, however, particularly for computer systems, can be overwhelming. The dean of engineering at Tennessee Tech observes that on a $1 million Calma computer system purchased recently for the school's new computer-aided design laboratory, the $108,080 annual service contract is "more than our entire supplies and expenses budget was 10 years ago." Also, service contracts are often "graded," the cost tied directly to the speed of service. Balancing cost against quality of service can be tricky.

Schools can also opt for ad hoc outside repair of equipment. This is particularly useful if the school doesn't have the in-house resources for dealing with complex equipment repairs and can't opt for a full service contract. The potential drawbacks are speed-of-service and the unforseeable number of individually-paid-for breakdowns.

Thirdly, schools can maintain staff and shops specifically for in-house repairs. While quick service and frequently lower costs can be obtained through this method, the increasing sophistication of most laboratory equipment often requires the care of the manufacturer. I would say that over the past five years, the nature of the maintenance problem has changed from one in which equipment was relatively simple and could be maintained by local technicians to one in which the complexity of modern equipment is such that maintenance contracts are really required on nearly everything. Particularly for smaller schools, the cost of the appropriate test equipment for repairs alone can be prohibitive. The parts required for each mainframe can easily run as high as $200,000; maintenance manuals alone are $20,000. Our University is a medium-sized school, representative of those which turn out the majority of our B.S. engineers, and we simply cannot afford to hire our own people in the numbers and quality to do the job in-house. On the other hand, the expense of maintenance contracts strains what budget we have available to us.

Under the NSF survey mentioned earlier, engineering departments as a whole rated their in-house instrumentation support services as follows: 3 percent - excellent; 50 percent - adequate; 41 percent - insufficient; and 6 percent - non-existent. The dean of engineering at an Ohio school observes that faculty sometimes maintain equipment on their own, "which detracts from their primary function of teaching and the generation of new knowledge." Another school, in Wisconsin, maintains some "duplicate" lab set-ups for undergraduates who must make up missed laboratory exercises, but "which also provides at least one set of spare equipment in the event of prolonged repair or shortage of repair parts." However, high enrollments probably don't allow many schools even such a small "luxury."

Most schools use a combination of all three methods to keep their laboratories in working order. Rarely, however, are the costs of these repair methods directly addressed by some of the most important channels through which schools receive their equipment. Industries which willingly donate much-needed equipment are reluctant to give money or services to support their gift. The reasons are many, including the lack of any tax incentive for doing so. This can make even the most badly-needed equipment a double-edged blessing. As the dean of engineering at Brown University notes about sorely-needed gifts to his school:

> "(When it comes to offers of equipment), we usually are not in a position to look a gift horse in the mouth. Only one equipment gift to my knowledge has come with maintenance provided. Much computer equipment has been donated with the clear understanding that maintenance is our problem -- potentially an expensive one!"

Some schools find themselves in the perverse situation of having to turn down equipment gifts occasionally because they believe that it would be imprudent to accept something they simply cannot maintain. At my own school, in a number of cases -- particularly in Mechanical and Electrical Engineering -- we simply have not pursued potential gifts, including computer gifts, because of potentially high maintenance costs. In a 1984 American Electronics Association survey of electrical engineering department heads, 39 percent of the respondents indicated that they have instructional equipment currently not usable and 31 percent turned down offers of equipment donations because they lack service and repair monies. One Tennessee school has twice this year been forced to refuse equipment gifts because maintenance costs would have been too high to absorb.

Another school in Kentucky recently received $1.5 million in computer gifts from IBM and the Harris Corporation. The combined annual maintenance charges for these gifts will be $135,000, even with the least expensive service contracts. The dean at the school notes that future -- badly needed -- computer gifts will have to be operated without a maintenance contract.

Briefly, a few other illustrations:

* One Florida college of engineering recently received a grant of a super-minicomputer and software from a major manufacturer. Valued at $340,000, the grant forms the basis of a much-needed computer-aided design laboratory. While first-year costs have been taken care of, it will be up to the college itself to find maintenance funds in the future. At this point in time, the dean notes: "We honestly don't know where the funds will be found."

* This same school has negotiated with another manufacturer for a sophisticated computer system which will supplement a currently inadequate computer in the college's largest department -- Electrical and Computer Engineering. Says the dean, "Unless we are able to get assistance from the manufacturer or another source to pay the cost of maintaining this system, it may be necessary for us to turn down the grant altogether."

* The chairman of an engineering department at an Illinois school observes that he and "most other educators" with whom he is familiar "no longer accept donations" from industry if the equipment is not new. "Costs in terms of both time required to install and maintain it, as well as the cost of parts, etc., are prohibitive compared with the higher reliability and ease of maintenance of newer equipment."

* An engineering college in Louisiana recently received grants from two computer manufacturers "which are currently in danger of being declined by the University because of insufficient funds to maintain the equipment. Refusal of these items would constitute a major loss to the College." The dean notes further that ABET, the accrediting agency for the engineering schools, emphasizes the "necessity of implementing computers directly into the educational process, thus this (maintenance) problem impacts directly on the educational function."

In the case of computers, it's particularly important to understand that proper maintenance includes more than the hardware. A typical maintenance contract on computer software provides modifications and updates as they develop. If a school does not pay this charge, it is left with out-of-date software. This poses a significant problem if the computer is required to communicate with another machine that DOES have the updates.

We hope to address the problems associated with gifts from industry both by further educating our donors of the criticality of maintenance funds and by encouraging tax breaks for companies which donate services. Both industry and government must understand, in the words of a Louisiana dean of engineering, "that an offer of equipment with maintenance strings attached may well be a hollow offer" for many schools.

Grants are another vital channel through which we receive equipment. In the case of research grants where equipment is purchased and dedicated to one project, maintenance costs are sometimes taken care of. Occasionally grants allow for a certain amount of care of equipment. However, for equipment that is used for more than a single project or is instructional in nature, little or no accommodation for wear-and-tear exists. As I illustrated above, this can pose a tremendously expensive problem for the schools.

The equipment grants authorized under Title VII of the Higher Education Act appear not to address directly the costs of maintaining purchased or leased equipment chosen by a recipient. We would suggest a simple change to recognize maintenance as an integral part of a total equipment "package" under this title. By allowing 10 to 15 percent of a given grant to be used to arrange for maintenance of the equipment purchased or leased, you will give schools much-needed flexibility in caring for their equipment. If a school chooses, it could still use 100 percent of the grant for purchase or lease, pursuing other methods which it may already have in place for maintenance. The 10 to 15 percent reserve option simply allows for the school itself to ensure that the life and usefulness of the equipment is the longest and best possible. Because the change requires no new funds and yet will have the effect of "getting the most bang for the buck" out of our equipment, I think that such an option makes good economical sense in a time of tight budgets all around.

On a slightly different note, it might be useful at the same time to consider allowing that same 10 to 15 percent reserve to be used to upgrade equipment a year or two after its lease or purchase. An analogy would be the purchase of a newer model car, trading in the old and contributing a certain amount of cash toward the new. Such upgrading in the laboratory helps overcome the quick obsolescence of rapidly changing equipment. Certainly no one is more aware of the rapid pace of such technological change than our engineering schools. Keeping up with current engineering practice in industry poses a special challenge. One dean of engineering observes that "the big factor in our equipment problem is the revolution caused by the microprocessor in the practice and teaching of engineers. If we don't have the computer equipment, we are really not teaching engineering anymore." Giving schools the flexibility to "trade up" equipment would again be economical, as well as of clear benefit to the quality of the education and research environment.

I am certain that you understand the obviously critical need for regular maintenance of the equipment in our nation's academic engineering laboratories. This issue is of great importance to the country's engineering schools, evidenced vividly by a brand-new criterion of ABET, the accrediting agency for our schools, which requires that "each curriculum shall have a carefully constructed and functioning plan for the continued replacement, modernization, maintenance, and support of laboratory equipment and related facilities." This new criterion will go into effect next year. Keeping our academic engineering laboratories in excellent shape is imperative if we are to teach tomorrow's innovators and conduct the research that becomes tomorrow's technology. Unless our equipment is kept in optimal working order, students will be shortchanged and everyone will later pay a high cost in talent untrained, research not begun, and ideas never realized.

I believe that reserving a certain percentage of equipment grants under Title VII for maintenance arrangements is absolutely essential. Indeed, as I mentioned at the outset of this testimony, it is as vital an issue to America's engineering colleges as is the very acquisition of such equipment.

I cannot urge this committee too strongly to join me in addressing this problem. It is one that will not go away. Rather, it is worsening as we speak.

Thank you. I would be delighted to try to answer any questions which you may wish to pose.

UNIVERSITY OF NEW HAMPSHIRE

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Response to Senator Hatch's questions being adressed to all witnesses at Higher Education Reauthorization hearing

Response to question #1

Provision of the financial resources for post secondary higher education is primarily the responsibility of students, parents and government. The private sector has a moral responsibility to assist society as it can and is able. One way for the private sector to charge this responsibility is to assist higher education since educated people are potential employees and customers. Higher education also will furnish a large part of the technological development for use by the private sector. Educational institutions have a responsibility to harbor their resources wisely so as to provide a quality education at a cost as reasonable as possible. It also has the responsibility to assist the private sector in recognizing and discharging its responsibility, in part through the support of higher education. Society in the United States has long since established that post secondary education should be provided to those who can profit from it and therefore govern ment must assist in providing the financial resources to discharge this responsibility.

Response to question #2

Student financial support should engender a sense of obligation to perform and "earn" the financial support by learning. Self financing through work should be used to the extent possible such that it does not interfere with academic performance. Certainly work in the summer time, while out of school, with the income applied to education expense, is a reasonable expectation.

Response to question #3

More resources for financial aid could possibly be channeled through institutions for disbursement directly to students provided that the institution has the student aid infrastructure to properly administer the program. If such a program were to be implemented criteria should be established to assure that their infrastructure and sense of responsibility is sufficient to insure proper handling of the public money. Financial assistance packages for individual students should always be generated with the local background and local information for each specific student. A better and more logical support package can be put together for students when local variations and opportunities are considered. Reliance upon formula type funding will not reflect the variations in these specific cases. Inequities are bound to result when one depends upon a funding formula as we currently do with several federal aid programs.

Response to question #4

Students should be expected to come from high school with sufficient backgrounds to minimize the amount of remedial work which is necessary at the post secondary level. Secondary school systems and parents have the obligation to reasonably provide students with backgrounds sufficient to start the program sought by the student. It is reasonable to question whether public funds in a loan or grant program should be provided to students who have major remediation needs.

It is also reasonable to expect that satisfactory progress towards a degree will be made by students once matriculated at a university if their loan and grant program is to be continued. Monitoring of a university's performance in this area might appropriately be done through accrediation agencies, by state agencies or through some other entity.

Responses from Otis J. Sproul, Dean, College of Engineering and Physical Sciences at the University of New Hampshire. Dean Sproul provided oral testimony to the Subcommittee on Education, Art and Humanities on October 10, 1985.

Otis J. Sproul, Sc.D.

Senator STAFFORD. Thank you very much, Dr. Sproul. Dr. Jordan, we will be glad to hear from you.

Dr. JORDAN. Thank you, Mr. Chairman. I appreciate the opportunity to testify before you this morning on matters which are of central importance to the Nation's system of higher education.

Before getting into the body of my testimony, I want to note our support of Representative Don Fuqua's University Research Facilities Act of 1985.

We would find it encouraging to see companion legislation introduced in the Senate.

I am appearing before you this morning on behalf of the Association of American Universities, the 57 leading public and private research universities in the United States and Canada, 55 of those being in the United States.

It is my intention to direct my comments to Title VII of the Reauthorization of the Higher Education Act of 1965, as it relates to construction, reconstruction, and renovation of academic facilities.

President John DiBiaggio of Michigan State University presented comprehensive testimony on this topic before the House Subcommittee on Postsecondary Education last month.

It is an excellent presentation and I have attached a copy of it to my remarks for the future reference of the chairman and his committee.

I would like to note, parenthetically, that appendix I of President DiBiaggio's report, which is entitled "The Nation's Deteriorating University Research Facilities," is an Association of American Universities 'study in which Penn State participated in 1981.

That study shows substantial backlogs in research facilities and equipment in science and engineering. It shows that the projected funding needs for university research laboratories and equipment are almost twice the level of expenditures for the previous 4 years, and it shows that loss of Federal contributions to the support of research facilities, and the absence of alternative sources of support, together, have forced many institutions to renovate and repair only those facilities in the greatest need.

The consequences of such neglect of our research facilities include diminished research productivity, reduced training capacity, and a decline in our international competitive status.

Those consequences are so threatening that they overshadow the less exciting but at least equal need for academic facilities, which is to say instructional classrooms, instructional laboratories, and office space for faculty. That will be the focus of my remarks this morning. Penn State, as you may know, is among the Nation's major research universities.

In fiscal year 1983, the most recent for which comparable data are available, Penn State ranked 20th in the Nation for total research and development expenditures.

That same data ranked Penn State third in the Nation in industrially sponsored research, behind only MIT and the Georgia Institute of Technology.

This research record occasionally overshadows the fact that we are a multicampus system with 22 campuses across Pennsylvania serving 61,000 students.

Two-thirds of our freshmen begin their undergraduate education at our branch campuses, each of which has physical plants in need of care and attention above and beyond that at our major research campus in University Park.

Penn State has not received substantial Federal funds for academic facilities since the early 1960's, so we have facilities which are more than 20 years old, and funds have not been available for changes required by increasing enrollments, changing student career interests, or rapidly changing technology.

The impact of this situation has been dramatic. Student enrollments at Penn State in engineering, business administration, and earth and mineral sciences have doubled over the last decade, severely straining the academic facilities available to these units.

What is more: Demand for admission to the university continues to grow. We are of course also behind in our purchase of equipment for instruction in science and engineering.

Because of extremely large enrollments and inadequate support for the college of engineering, that college has not been able to provide enough state-of-the-art equipment to furnish the essential experiences expected for Penn State engineering graduates.

The quality of laboratory experience available to Penn State students has declined, and in some cases, the number of laboratory credits in a given major has been reduced.

We could go on and on, but let it suffice to say that the examples we have cited are evidence of a diminished training capacity and a decline in our international competitive status.

We recognize that the funding difficulties faced in seeking solutions to these problems are the product of many years of neglect. Thus we applaud the amendments to title VII which put a priority on modernization and improvement of academic facilities, rather than just construction of new facilities. This is an approach similar to that which we are taking at Penn State. At the University Park campus, for example, the State legislature has provided about $25 million for refurbishment of 700,000 square feet of space.

I would also, in closing, like to support the amendment proposed for section 721(c) of title VII. It urges the Secretary of Education to require that applications for modernization and improvement of graduate academic facilities include an assessment of the applicant's past and projected contributions to the growth of knowledge and science.

If approved and enforced, that should go a long way toward directing scarce Federal funds to institutions which can use them most effectively.

Thank you very much, Mr. Chairman.

[The prepared statement of Dr. Jordan (with attachments) follows:]

STATEMENT OF
BRYCE JORDAN
PRESIDENT, THE PENNSYLVANIA STATE UNIVERSITY

BEFORE THE SUBCOMMITTEE ON EDUCATION, ARTS, AND HUMANITIES
OF THE LABOR AND HUMAN RESOURCES COMMITTEE

U.S. SENATE
385 RUSSELL BUILDING

THURSDAY, OCTOBER 10, 1985
10:00 A.M.

CHAIRMAN STAFFORD AND MEMBERS OF THE SUBCOMMITTEE:

THANK YOU FOR THE OPPORTUNITY TO TESTIFY BEFORE YOU THIS MORNING ON MATTERS OF CENTRAL IMPORTANCE TO THE NATION'S SYSTEM OF HIGHER EDUCATION.

I AM SURE THIS GROUP IS FAMILIAR WITH THE UNIVERSITY COMMUNITY'S CONCERN REGARDING THE WELL-DOCUMENTED DETERIORATION OF ACADEMIC RESEARCH FACILITIES. DR. FRANK PRESS, PRESIDENT OF THE NATIONAL ACADEMY OF SCIENCES, TESTIFIED RECENTLY ON THIS TOPIC BEFORE THE SUBCOMMITTEE ON SCIENCE; RESEARCH, AND TECHNOLOGY IN THE HOUSE. DR. PRESS NOTED THAT THE SEVERE PROBLEMS ASSOCIATED WITH OUR ACADEMIC RESEARCH

FACILITIES HAVE BEEN CHRONICLED FOR OVER A DECADE. HE PRAISED REPRESENTATIVE DON FUQUA'S UNIVERSITY RESEARCH FACILITIES ACT OF 1985 WHICH, HE SAID, IS IMPORTANT NOT ONLY BECAUSE OF ITS CONTENTS, BUT ALSO BECAUSE IT IS SERVING AS A FOCUS FOR OBTAINING CONSENSUAL AGREEMENT WITHIN THE CONGRESS ON THE CRITICAL FACILITIES PROBLEM.

WE CONCUR WITH THAT JUDGMENT AND WOULD FIND IT ENCOURAGING TO SEE COMPANION LEGISLATION INTRODUCED IN THE SENATE.

I AM APPEARING BEFORE YOU THIS MORNING ON BEHALF OF THE ASSOCIATION OF AMERICAN UNIVERSITIES (AAU), THE 57 LEADING PUBLIC AND PRIVATE RESEARCH UNIVERSITIES IN THE UNITED STATES AND CANADA. IT IS MY INTENTION TO DIRECT MY COMMENTS TO TITLE VII OF THE REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1965 AS IT RELATES TO THE CONSTRUCTION, RECONSTRUCTION, AND RENOVATION OF ACADEMIC FACILITIES.

PRESIDENT JOHN DIBIAGGIO OF MICHIGAN STATE UNIVERSITY PRESENTED COMPREHENSIVE TESTIMONY ON THIS TOPIC BEFORE THE HOUSE SUBCOMMITTEE ON POSTSECONDARY EDUCATION LAST MONTH. IT IS AN EXCELLENT PRESENTATION AND I HAVE ATTACHED A COPY OF IT TO MY REMARKS FOR YOUR FUTURE REFERENCE.

I WOULD LIKE TO NOTE PARENTHETICALLY THAT APPENDIX I OF PRESIDENT DIBIAGGIO'S REPORT (THE REPORT IS ENTITLED THE NATION'S DETERIORATING UNIVERSITY RESEARCH FACILITIES) IS AN ASSOCIATION OF AMERICAN UNIVERSITIES STUDY IN WHICH PENN STATE PARTICIPATED IN 1981. PENN STATE WAS ONE OF 15 RESEARCH UNIVERSITIES -- INCLUDING THE UNIVERSITY OF CALIFORNIA AT LOS ANGELES, STANFORD UNIVERSITY, AND THE MASSACHUSETTS INSTITUTE OF TECHNOLOGY, AMONG OTHERS -- THAT WERE SURVEYED FOR THAT REPORT. THE STUDY FOCUSED ON SIX SCIENTIFIC FIELDS: BIOLOGICAL SCIENCES, CHEMICAL SCIENCES, EARTH SCIENCES, ENGINEERING, PHYSICS, AND, WHERE APPLICABLE, MEDICAL SCHOOLS. THE RESULTS SHOWED:

- SUBSTANTIAL BACKLOGS IN RESEARCH FACILITIES AND EQUIPMENT IN SCIENCE AND ENGINEERING;

- PROJECTED FUNDING NEEDS FOR UNIVERSITY RESEARCH LABORATORIES AND EQUIPMENT AT ALMOST TWICE THE LEVEL OF EXPENDITURES FOR THE PREVIOUS FOUR YEARS;

- LOSS OF FEDERAL CONTRIBUTIONS TO THE SUPPORT OF RESEARCH FACILITIES, AND THE ABSENCE OF ALTERNATIVE SOURCES OF SUPPORT WHICH, TOGETHER, HAVE FORCED MANY INSTITUTIONS TO RENOVATE AND REPAIR ONLY THOSE FACILITIES IN GREATEST NEED.

THE CONSEQUENCES OF SUCH WANTON NEGLECT OF OUR RESEARCH FACILITIES INCLUDE DIMINISHED RESEARCH PRODUCTIVITY, REDUCED TRAINING CAPACITY, AND A DECLINE IN OUR INTERNATIONAL COMPETITIVE STATUS. THOSE CONSEQUENCES ARE SO THREATENING

THAT THEY OVERSHADOW THE LESS EXCITING -- BUT AT LEAST EQUAL -- NEED FOR ACADEMIC FACILITIES, THAT IS, INSTRUCTIONAL CLASSROOMS AND LABORATORIES AND OFFICE SPACE FOR FACULTY. THIS WILL BE THE FOCUS OF MY REMARKS THIS MORNING.

BECAUSE PRESIDENT DIBIAGGIO ALREADY HAS DEFINED THE NATIONAL DIMENSIONS OF THE NEED FOR ACADEMIC FACILITIES, I WILL AMPLIFY HIS TESTIMONY BY DESCRIBING FOR YOU THE SITUATION AT PENN STATE.

PENN STATE, AS YOU MAY KNOW, IS AMONG THE NATION'S MAJOR RESEARCH UNIVERSITIES. IN FISCAL YEAR 1983, THE MOST RECENT FOR WHICH COMPARABLE DATA ARE AVAILABLE, PENN STATE RANKED TWENTIETH IN THE NATION FOR TOTAL RESEARCH AND DEVELOPMENT EXPENDITURES. THE SAME DATA RANKED PENN STATE THIRD IN THE NATION IN INDUSTRIALLY-SPONSORED RESEARCH, BEHIND ONLY M.I.T. AND THE GEORGIA INSTITUTE OF TECHNOLOGY. THIS RESEARCH RECORD OCCASIONALLY OVERSHADOWS THE FACT THAT WE ARE A

MULTI-CAMPUS SYSTEM WITH 22 CAMPUSES ACROSS PENNSYLVANIA SERVING 61,000 STUDENTS. TWO-THIRDS OF OUR FRESHMEN BEGIN THEIR UNDERGRADUATE EDUCATION AT OUR BRANCH CAMPUSES, EACH WITH PHYSICAL PLANTS IN NEED OF CARE AND ATTENTION ABOVE AND BEYOND THAT WHICH IS NECESSARY ON OUR MAIN CAMPUS AT UNIVERSITY PARK.

PENN STATE HAS NOT RECEIVED SUBSTANTIAL FEDERAL FUNDS FOR ACADEMIC FACILITIES SINCE THE EARLY 1960S WHEN THE HIGHER EDUCATION FACILITIES ACT MADE SUCH FUNDS AVAILABLE TO US. HENCE, FACILITIES WE CONSTRUCTED MORE THAN 20 YEARS AGO ARE OUTDATED, AND FUNDS HAVE NOT BEEN AVAILABLE TO THE UNIVERSITY FOR CHANGES REQUIRED BY INCREASED ENROLLMENTS, CHANGING STUDENT CAREER INTERESTS, OR RAPIDLY CHANGING TECHNOLOGY.

THE IMPACT OF THIS SITUATION HAS BEEN DRAMATIC. CONSIDER, FOR EXAMPLE, THAT STUDENT ENROLLMENTS AT PENN STATE IN THE COLLEGES OF ENGINEERING, BUSINESS ADMINISTRATION, AND

EARTH AND MINERAL SCIENCES HAVE DOUBLED OVER THE LAST DECADE, SEVERELY STRAINING THE ACADEMIC FACILITIES AVAILABLE TO THESE UNITS. WHAT IS MORE, DEMAND FOR ADMISSION TO THE UNIVERSITY CONTINUES TO GROW. CLASS SIZES IN MANY AREAS HAVE SWELLED TO UNACCEPTABLE LEVELS. PENN STATE HAS REACHED CAPACITY WITH REGARD TO SPACE FOR LARGE ENROLLMENT CLASSES AT UNIVERSITY PARK. THE SO-CALLED FORUM BUILDING THERE, THE ONLY LARGE-SEATING-CAPACITY CLASSROOM BUILDING ON CAMPUS, IS BOOKED SOLIDLY EVERY DAY WITH AN AVERAGE OF TEN CLASSES PER DAY IN EACH OF THE FOUR CLASSROOMS AVAILABLE. THE AVERAGE SECTION SIZE IN THE FORUM BUILDING IS OVER 300 STUDENTS.

WE ARE, OF COURSE, ALSO BEHIND IN OUR PURCHASE OF EQUIPMENT FOR INSTRUCTION IN SCIENCE AND ENGINEERING. BECAUSE OF EXTREMELY LARGE ENROLLMENTS AND INADEQUATE SUPPORT FOR THE COLLEGE OF ENGINEERING, THAT COLLEGE HAS NOT BEEN ABLE TO PROVIDE ENOUGH STATE-OF-THE-ART EQUIPMENT TO FURNISH

THE ESSENTIAL EXPERIENCES EXPECTED FOR PENN STATE ENGINEERING GRADUATES. THE QUALITY OF LABORATORY EXPERIENCE AVAILABLE TO PENN STATE STUDENTS HAS DECLINED AND, IN SOME CASES, THE NUMBER OF LABORATORY CREDITS IN A GIVEN MAJOR HAS BEEN REDUCED. IN CHEMICAL ENGINEERING, FOR EXAMPLE, THE NUMBER OF LABORATORY CREDITS WAS REDUCED FROM SIX TO FOUR BECAUSE OF OVERCROWDED CONDITIONS AND OBSOLETE EQUIPMENT. SIMILARLY, WITHIN THE LAST TWO YEARS, THE FACULTY IN ELECTRICAL ENGINEERING FOUND IT NECESSARY TO ELIMINATE THE LABORATORY REQUIREMENTS FOR A COURSE IN ELECTRONIC MEASURING SYSTEMS. IN OTHER CASES, THREE OR FOUR STUDENTS ARE ASSIGNED TO LAB STATIONS DESIGNED FOR TWO STUDENTS. WE COULD GO ON AND ON, BUT LET IT SUFFICE TO SAY THAT THE EXAMPLES WE ARE CITING FOR YOU TODAY ARE EVIDENCE OF DIMINISHED TRAINING CAPACITY AND A DECLINE IN OUR INTERNATIONAL COMPETITIVE STATUS. I AM ADVISED BY THE DEAN OF OUR COLLEGE OF ENGINEERING THAT THIS SITUATION IS NOT UNIQUE TO PENN STATE.

We recognize fully the funding difficulties faced in seeking solutions to these problems, which are the product of many years of neglect. Thus, we applaud the amendments to Title VII which put a priority on modernization and improvement of academic facilities rather than just construction of new facilities. This is an approach similar to that which we are taking at Penn State.

It may interest you to know that our internal facilities management plan is designed to ensure that changes or renovations in facilities are in concert with the academic priorities of the University. The Commonwealth of Pennsylvania is helping to finance needed renovations with limited funds. Penn State's main campus at University Park is about to undergo the largest academic remodeling program in its history. Included are five existing facilities in the College of Agriculture, four in the College of Science, and two in the College of Engineering. These renovations, which

WILL AFFECT NEARLY 700,000 SQUARE FEET, HAVE A PROJECTED TOTAL COST OF $25.7 MILLION, WHICH ARE BEING FINANCED BY THE STATE. THE RENOVATIONS WILL PUT PENN STATE ON THE WAY TO A FIRST-CLASS SCIENTIFIC PLANT. WE ARE TOLD THAT IF WE WERE TO BUILD COMPARABLE NEW FACILITIES, THE COST WOULD BE IN THE AREA OF $130 MILLION, SO WE FEEL THE PROGRAM IS VERY COST EFFECTIVE IN AN ENVIRONMENT OF GREAT NEED.

TO PUT THAT IN PERSPECTIVE, IT MAY HELP YOU TO KNOW THAT THE TOTAL BOOK VALUE OF PENN STATE'S PHYSICAL PLANT IS IN THE AREA OF $1.25 BILLION. THE BOOK VALUE OF THE PHYSICAL PLANT AT THE MAIN CAMPUS IS IN EXCESS OF $600 MILLION. OF THAT AMOUNT, WE SPEND LESS THAN 1 PERCENT PER YEAR TO MAINTAIN THE PLANT. PERSONS KNOWLEDGEABLE IN THE PHYSICAL PLANT AREA RECOMMEND A MORE APPROPRIATE AMOUNT WOULD BE 2 TO 3 PERCENT.

WE ALSO WOULD LIKE TO SUPPORT THE AMENDMENT PROPOSED FOR SECTION 721(c) OF TITLE VII. IT URGES THE SECRETARY OF

EDUCATION TO REQUIRE THAT APPLICATIONS FOR MODERNIZATION AND IMPROVEMENT OF GRADUATE ACADEMIC FACILITIES INCLUDE AN ASSESSMENT OF THE APPLICANT'S PAST AND PROJECTED CONTRIBUTIONS TO THE GROWTH OF KNOWLEDGE IN SCIENCE. IF APPROVED AND ENFORCED, THAT SHOULD GO A LONG WAY TOWARD DIRECTING SCARCE FEDERAL FUNDS TO INSTITUTIONS WHICH CAN USE THEM MOST EFFICIENTLY.

I WOULD LIKE, ALSO, TO TAKE THIS OPPORTUNITY TO SUPPORT RELATED TESTIMONY PRESENTED BEFORE THE HOUSE POSTSECONDARY EDUCATION SUBCOMMITTEE BY WILBUR L. MEIER, JR., DEAN OF THE COLLEGE OF ENGINEERING AT PENN STATE. IN THAT TESTIMONY, DEAN MEIER EXPLAINED THE NEED FOR FEDERAL FINANCIAL SUPPORT FOR THE MAINTENANCE OF ACADEMIC ENGINEERING EQUIPMENT. HE POINTED OUT THAT THE LACK OF SUCH FUNDING PUTS SOME UNIVERSITIES IN THE UNHAPPY SITUATION OF HAVING TO TURN DOWN EQUIPMENT GIFTS FROM INDUSTRIAL DONORS.

Dean Meier proposed that Title VII of the Higher Education Act be modified to recognize maintenance specifically as an integral part of the Act. He suggested that universities be given the option of setting aside 10 percent to 15 percent of a given grant to maintain equipment purchased or leased under the Act. Alternatively, under Dean Meier's proposal, universities could use 100 percent of the grant for purchase or lease if they preferred to do so. We think this is a reasonable approach to a troublesome problem and would hope that you would consider including it in the Act.

In closing, let me say that Penn State is anxious to compete for the critical, but limited, resources this committee might help to assure for academic facilities. The legislation we are considering today is needed. It is one of several options we must pursue to address a very large

PROBLEM WHICH DEMANDS SUBSTANTIAL AND SUSTAINED INVESTMENT BY MANY SECTORS: FEDERAL AND STATE GOVERNMENTS, UNIVERSITIES, AND THE PRIVATE SECTOR.

THANK YOU FOR THE OPPORTUNITY TO BE HERE. I WOULD BE HAPPY TO ANSWER ANY QUESTIONS YOU MAY HAVE.

TESTIMONY

BEFORE

THE SUBCOMMITTEE ON POSTSECONDARY EDUCATION

OF

THE COMMITTEE ON EDUCATION AND LABOR

IN

THE UNITED STATES HOUSE OF REPRESENTATIVES

CONCERNING

REAUTHORIZATION OF THE HIGHER EDUCATION ACT OF 1965

DELIVERED BY

JOHN DIBIAGGIO
PRESIDENT
MICHIGAN STATE UNIVERSITY

ON BEHALF OF

ASSOCIATION OF AMERICAN UNIVERSITIES
NATIONAL ASSOCIATION OF STATE UNIVERSITIES
AND LAND-GRANT COLLEGES

September 11, 1985

Mr. Chairman and Members of the Subcommittee, I am John DiBiaggio, President of Michigan State University. I am pleased to have this opportunity to appear before you to testify on Title VII of the Higher Education Act, Construction, Reconstruction, and Renovation of Academic Facilities. I appear before you on behalf of the Association of American Universities and the National Association of State Universities and Land-Grant Colleges.

Our nation's colleges and universities are a fundamental national resource. Each year they provide over 12 million students with a broad range of occupational and technical training, liberal arts education, and advanced graduate and professional education. In addition to carrying forward, through new classes of students, the breadth and richness of our intellectual and cultural heritage, our colleges and universities are essential for the creation and dissemination of new knowledge. They conduct over 50% of the nation's basic research, and our graduate programs educate the succeeding generations of teachers, scholars, and scientists upon which our continued competitiveness as a nation will depend.

Perhaps the most serious problem which these institutions face in the coming decade is the deterioration of their academic facilities. Our physical plant is old, outdated, in urgent need of renovation and repair. Its deterioration threatens our teaching and undermines our research. The problem demands a prompt and sustained response. The response must be a joint effort by government--both federal and state, institutions, and industry.

Dimensions of the Problem

The physical plant of higher education is vast, comprising 2.3 billion square feet of physical plant with a replacement value of $200 billion. Twenty percent of that plant needs replacement or renewal--a total cost of $40 billion. Added to that are annual maintenance needs of $5 billion.

The accumulation of facilities needs is seriously threatening every aspect of higher education. Teaching facilities are in need of repair; many campuses are unable to carry out selective expansion needed to accommodate new course demands. Libraries, our essential repositories of existing and accumulating knowledge and the active laboratories of scholars, need to be renovated to incorporate rapidly developing information systems; many have pressing needs for environmental controls essential for the preservation of library materials.

The need for repair and renovation of research facilities is especially critical. A 1981 survey by the Association of American Universities found that universities were able to meet only about half of their accumulating needs to replace, modernize, and renovate their research laboratories (Appendix I). A recent NSF survey found that 25% of research equipment now in use is obsolete. More than 90% of the department heads responding reported that "important subject areas" of research could not be addressed because their laboratories lacked the necessary instrumentation.

At Michigan State University, we have identified nearly $35 million in high priority renovation projects needed for our research and graduate education programs ranging from the renovation of the laboratories, classrooms, and support facilities in our Natural Science Building to the construction of an all-weather tunnel connecting 7 key research buildings. This tunnel would allow us to consolidate analytical laboratory capabilities to achieve one major state-of-the-art facility serving seven research buildings; the cost is $2.5 million.

Or consider the far-reaching benefits--and, unfortunately, the out-of-reach cost--of the seemingly pedestrian renovation of heating and cooling systems: the installation of special integrated heating and cooling energy lines would permit us to upgrade the computer capability of three research facilities in a more cost-effective manner than renovating each facility separately; yet even this cost-effective price tag is $2 million.

This $35 million list covers only our highest priority projects in research and graduate education. Added to it is almost $74 million in deferred maintenance needs on the campus. The severity of the facilities problem at Michigan State is not atypical of our nation's campuses generally. In a statement made at a recent hearing on research facilities before the House Subcommittee on Science, Research and Technology, Chairman Walgren captured what is at stake for the nation: "The United States academic community has achieved a high level of excellence in the conduct of scientific inquiry. It is clearly in the national interest for that excellence to be maintained from the standpoint of international economic competition and national security. There is no way that excellence can be sustained without first class facilities and personnel. Thus, our standing in the world community depends on the physical state of our academic research facilities."

What is true for excellence in research is true for excellence in education: it requires first class facilities and personnel. Without first class facilities, it is difficult to recruit and retain first class faculty. Thus, the capacity of our colleges and universities to sustain excellence in teaching and research requires that we attend to the facilities problem now.

How the Facilities Problem Arose

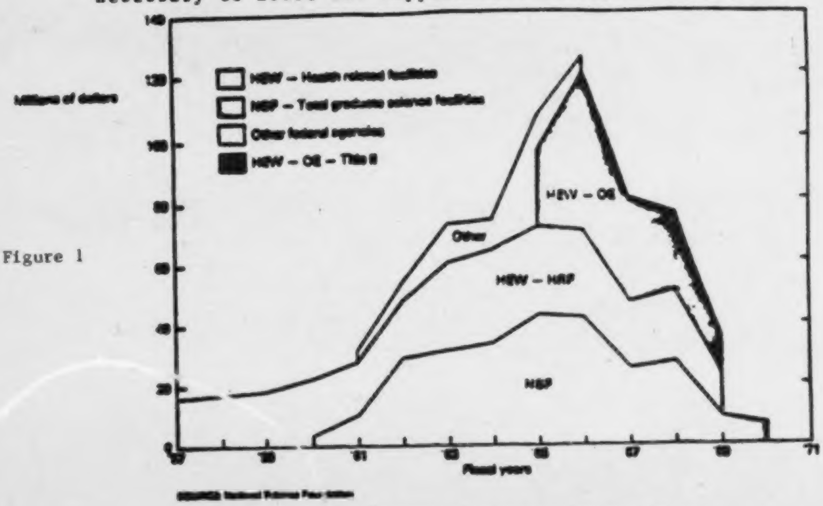
The size of our higher education system has increased at an enormous rate: higher education square footage doubled between 1950 and 1965 and doubled again by 1981. The rapid advances in science have generated new requirements for research facilities with more stringent temperature control, air purification, and electrical service. Congressionally mandated requirements for hazardous waste disposal and other environmental and safety requirements, requirements for removal of architectural barriers to the handicapped, the need for energy conservation--all have added to facilities needs.

Yet as these factors converged to place substantial demands on institutions for facilities renovation and renewal, federal funds to assist institutions disappeared. Title VII has not been funded for well over a decade. The drop in federal funding for academic research facilities has been especially severe.

Between 1960 and 1970, the National Science Foundation provided 977 grants totaling $188 million to assist in the construction of laboratories and the acquisition of equipment. This federal investment has richly repaid the nation in health, education, economic competitiveness, and national security. But this investment was not limited to federal dollars. Matching funds were required. The total value of facilities and instrumentation acquired with NSF assistance was $500 million, leveraging federal funds at a ratio of better than two-to-one.

Between 1957 and 1970, federal grant funds for graduate science facilities totaled approximately $3/4 billion (see Figure 1). The national investment from all sources was certainly several times that amount. But in 1970, federal funding essentially ceased. The link between federally funded research programs and the federal contribution to the capital facilities necessary to house and support that research was broken.

Figure 1



SOURCE: National Science Foundation

Figure 1. Total Federal Grant Funds for Graduate Science Facilities by Fiscal Years 1957-1970

When we abruptly ceased investing in facilities, we allowed the capital base of our national research programs to become a wasting asset. A substantial portion of the facilities that were constructed during the zenith of federal funding in the 1960's are now in need of repair and renovation. The costs to restore these aging facilities, plus the costs to meet new facilities requirements, have combined to produce the critical problem we are now confronting.

Hard pressed to meet short-term priorities, institutions have been unable on their own to make needed long-term capital investments.

How Should We Respond?

Because of the importance of the problem--no less than our competitiveness as a nation is at stake--and because of the magnitude of the problem--an estimated $40 billion in facilities needs, we must develop a coordinated strategy involving all parties with a vital stake in solving the facilities problem--colleges and universities, federal and state governments, and industry. The strategy must provide both prompt action and a sustained response.

Several encouraging actions are proposed or underway. ERTA provided permanent special tax benefits to encourage industry donations of research equipment to colleges and universities. ERTA created additional tax credits for industrial investment in academic R&D. Congressman Fuqua recently introduced H.R. 2383, the University Research Facilities Revitalization Act of 1985, which would provide new funding for academic research facilities through the federal mission agencies. Congressman Kildee has introduced H.R. 143, which, among other provisions, would provide for reconstruction and renovation of academic facilities. For the first time in 14 years, $28 million was appropriated this year for facilities funding through Title VII of the Higher Education Act.

The National Science Board is conducting a major review of the status of the nation's research facilities. The House Armed Services Committee, out of concern for national security, is addressing the academic research facilities problem. The National Science Foundation authorization legislation is being modified to provide for improved data gathering.

Colleges and universities are exploring new ways to secure funding for facilities and instrumentation. A major study on financing and managing university research equipment has just been completed (Appendix II). I should mention here that one of the findings of this study was the importance of tax-exempt bond financing for research instrumentation and facilities. Unfortunately, consideration is being given to withdrawing access by private colleges and universities to such financing. I hope that members of this committee will indicate to your colleagues on the Ways and Means Committee the importance of tax-exempt financing for addressing the academic facilities problems confronting both public and private institutions (Appendix III).

During the reauthorization of the Higher Education Act, we have the opportunity to reexamine Title VII as a mechanism for addressing facilities needs. There are several ways Title VII could be modified to address more effectively the current facilities needs of colleges and universities.

The American Council on Education recommendations for modifications in the Higher Education Act, submitted to the committee on April 30 on behalf of the community, contain several recommendations that would improve Title VII. I will briefly summarize the principal recommendations here:

o give priority to the renovation of existing facilities, awarding funds for new construction only where it is demonstrated to be more cost effective than renovation or where no alternative exists. The pressing need in higher education now and in the foreseeable future is not for great expansion but for repair and renovation of existing plants; fiscal constraints on both government and institutions require that this be accomplished as cost-effectively as possible.

o expand the general purposes to reflect current facilities needs such as new requirements for hazardous waste disposal and asbestos removal. Title VII needs to be responsive to new requirements placed on academic institutions, both by new government regulations and by new research and training demands.

o modify current law, which permits funds to be used for construction or renovation of facilities in response to unusual increases in enrollment, to permit institutions with extreme internal enrollment shifts to renovate facilities. Although total institutional enrollments have generally leveled off, dramatic internal shifts have been occurring that generate new facilities needs.

o provide flexible matching grants for graduate education and research facilities through Part B. This matching provision will substantially increase the impact of federal funds and will require institutions to reallocate their resources to respond to the facilities problem.

- adopt criteria for the competitive allocation of funds through Part B based on judgments by peer review panels of the quality of the educational and research programs to be conducted in the facility, and the impact of the funds in overcoming existing deficiencies. These criteria will assure that funds are awarded through competitive proposals judged on the basis of scientific merit and cost-effective impact of the award.

- reduce the repayment period for Part C loans from 50 to 30 years and adjust the interest rate to reflect current interest rate trends. These changes will reduce federal costs while continuing to provide loan capital to colleges and universities.

Another important function that should be carried out by the Department of Education is the systematic collection of data concerning the status of academic facilities. NSF is assuming new data gathering responsibilities concerning research facilities. The Department of Education should gather complementary information on academic facilties.

Recent discussions with representatives of the Student Loan Marketing Association have generated some interesting new options that we believe merit further consideration by the committee. These options share a common objective of providing essential facilities capital to institutions in a way that minimizes the cost to the federal government. In a sense, the government would be using its capital principally as a means of leveraging greater facilities funding overall. These programs would therefore serve as a cost-effective complement to the federal grant funding needed for a prompt response to the immediate facilities crisis.

As a first step, we urge that Sallie Mae be encouraged to enter the academic facilities and instrumentation market. Providing the authority for Sallie Mae to purchase facilities bonds and provide other credit support for such bonds and to make or purchase loans for facilities would be a natural extension of Sallie Mae's current activities.

The benefit of Sallie Mae entering the facilities and instrumentation market could be significantly enhanced by a federally-sponsored program of loan insurance or credit enhancement. Establishing a loan insurance program separate from the actual funding of loans would effectively expand financing sources for academic facilities and equipment, especially for smaller, financially weaker institutions. There are a number of variations on such a program that would be possible, and I would be happy to provide the committee with further details if you wish.

Annual interest grants authorized under Section 734 might play an important role in new initiatives to provide an affordable source of private capital for facilities. We therefore urge retention of this section and examination of ways that it might be modified to facilitate access to loan capital under any new programs that might be authorized.

Underlying all of the recommendations I have summarized above and the other initiatives to which I have alluded is the need for a multifaceted approach to an extremely serious problem. We need to have government, institutions, and industry working jointly through a number of programs to meet the massive and diverse facilities needs of colleges and universities. We need programs that will provide prompt, flexible, and sustained action. Title VII is an essential part of this overall strategy. I believe that the modifications and additions I have outlined above will provide Title VII with the mechanisms to fulfill its role effectively.

I thank the committee for this opportunity to testify on this most critical issue. I would of course be happy to answer any questions.

APPENDIX I

THE NATION'S DETERIORATING UNIVERSITY RESEARCH FACILITIES

A Survey of Recent Expenditures and Projected Needs in Fifteen Universities

July 1981

Association of American Universities
One Dupont Circle, N.W.
Washington, D.C. 20036

EXECUTIVE SUMMARY

OBJECTIVES OF THE SURVEY

This survey of 15 leading universities had three objectives:

-- In the institutions surveyed, document expenditures for research facilities and major ($100,000 or more) equipment, without regard to source of funds, over the last four years in the following six fields:

- Biological Sciences
- Chemical Sciences
- Earth Sciences
- Engineering
- Physics
- Medical Schools (10)

-- Provide responsible estimates, prepared by those universities, of expenditures for research facilities and major equipment that would be required over the next 3 years to meet the research and training needs of only current faculty.

-- From researchers and department heads, acquire assessments of the major consequences for science, industry, and government if the accumulating facilities needs of their institutions are not addressed.

FINDINGS

In many of the science and engineering departments surveyed, a substantial backlog of research facilities and equipment needs is accumulating. Projected funding needs over the next three years equal almost twice the level of expenditures by universities for their research laboratories and equipment over the past four years. Already, institutions often are unable to provide their basic science and engineering researchers and students with either the modern laboratories or equipment needed to conduct state-of-the-art research and education programs.

The loss of federal contributions to the support of research facilities and the absence of compensatory sources of support has forced many institutions to renovate and repair only those facilities in greatest need. Even this work often is carried out in a necessarily piecemeal fashion which is uneconomical over the long term. Working under such conditions, researchers unavoidably compromise their productivity and future competitiveness.

Relatively few construction projects have been completed in recent years in a majority of the physical sciences and engineering departments surveyed. Many institutions estimate substantial needs for new laboratories, for the expanded modernization and repair of old laboratories and for modern research equipment. Details are provided in the following report and the appendicies. The survey's principal findings are the following:

- In the last four years, for the six fields surveyed, fifteen leading universities together spent $400 million from all sources for facilities and major equipment. Half of those expenditures was for a relatively small number of new construction projects; the remaining half, spread over a larger number of generally less costly funding projects, was for facility modernization, major repair and renovation, and special purpose research equipment.

- In the next three years, the 15 universities estimate they should spend almost twice as much ($765 million) just to provide the necessary research facilities and special research equipment for current faculty only. These estimates are in current dollars and, therefore, do not include the added effects of inflation.

- New construction to replace outmoded facilities accounts for almost 60% of total projected funding requirements across all fields.

- In addition, substantial needs for major research equipment were identified in all six fields. These equipment estimates include only major items costing at least $100,000. As the 1980 AAU report to the National Science Foundation found, most departments also have serious deficiencies of less costly analytical instrumentation and support equipment.

RECOMMENDATIONS

The problems of obsolescence in the nation's university research facilities have been growing for more than a decade. To solve them, a new national investment strategy is needed. That strategy should provide direct, balanced support for university facilities from federal agencies and provide investment incentives designed to involve industry, the states, and the universities in a coordinated effort. The following steps are suggested as starting points:

1. Key Executive agencies should develop a mechanism to periodically assess the condition of university research laboratories and the consequences for the nation of that condition. Such assessments should involve the Office of

Science and Technology Policy, the National Science Foundation, the Department of Defense, the Department of Energy, the Department of Health and Human Services, the Department of Agriculture and the National Aeronautics and Space Administration. The views of industry and the universities also should be solicited.

If the initial review corroborates the assessment of this suvey the following recommendations should be considered:

2. The facilities and equipment program earlier proposed to be undertaken by the National Science Foundation but deferred should be restored as a priority initiative in FY 1983.

3. The Department of Defense, Department of Energy, the National Aeronautics and Space Administration, the Department of Health and Human Services, and the Department of Agriculture should establish research instrumentation and facilities rehabilitation programs targeted on the fields of science and engineering of primary significance to their missions. The National Science Foundation should assist in the development, implementation, and coordination of those activities.

4. Incentives should be provided to encourage industries and the states to join with universities and the federal government in renewing the nation's university research laboratories.

5. Interest costs incurred in the construction, modernization, renovation, and repair of facilities in which federally supported research programs are carried out should be allowable indirect costs under OMB Circular A-21.

APPENDIX II

Financing and Managing University Research Equipment

Association of American Universities
National Association of State Universities
and Land-Grant Colleges
Council on Governmental Relations

Washington, D.C. 1985

SUMMARY AND RECOMMENDATIONS

Contemporary science and technology are inconceivable without the array of instruments and other research equipment available today. Recent years, however, have seen steady erosion of our universities' ability to acquire and maintain equipment that qualifies as state of the art--the best generally available. Without this new equipment, advances in many scientific disciplines cannot occur. The situation has reached the point where it threatens the strength of the nation's research enterprise and the quality of education of new scientists and engineers.

The project summarized here was designed to seek ways to ensure that the funds available for scientific equipment in universities are used at maximum efficiency. We examined federal and state regulations and practices, management practices in universities, and sources and mechanisms of funding. We reached the following broad conclusions:

Many actions can be taken that clearly would enhance efficiency in the acquisition, management, and use of research equipment by universities, and they are specified in our recommendations. The overall problem is so large, however, that it cannot be properly addressed without substantial, sustained investment by all sources--federal and state governments, universities, and the private sector.

SOURCE OF THE PROBLEM

The situation has been documented in a succession of studies dating from the early 1970s. The most recent and most comprehensive study is the National Science Foundation's National Survey of Academic Research Instruments, covering the years 1982-1983. Newly published results of the survey show in part that:

o Of the university department heads surveyed, 72 percent reported that lack of equipment was preventing critical experiments.

o Universities' inventories of scientific equipment showed that 20 percent was obsolete and no longer used in research.

o Of all instrument systems in use in research, 22 percent were more than 10 years old.

o Only 52 percent of instruments in use were reported to be in excellent working condition.

o Of university department heads surveyed, 49 percent rated the quality of instrument-support services (machine shop, electronics shop, etc.) as insufficient or nonexistent.

Contributory Trends

Such difficulties stem from several interrelated trends. As scientific instruments have grown steadily more powerful and productive, their initial costs have significantly outpaced the general rate of inflation. One industrial laboratory, for example, found that the cost of keeping its stock of research equipment at the state of the art rose 16.4 percent per year during 1975-1981, while the consumer price index rose 9.9 percent per year. The growing capabilities of equipment also entail higher costs for operation and maintenance. The rapid pace of development, moreover, has shortened the technologically useful life of equipment; instruments today may be superseded by more advanced models in five years or less. And for more than 15 years, the funds available from all sources have failed consistently to reflect the rising costs and declining useful lifetimes of academic research equipment.

Research project grants, the leading source of academic research equipment, have only slightly outpaced inflation in recent years. Individual grants averaged about $94,000 at the National Science Foundation (NSF) in 1985 and $133,000 at the National Institutes of Health (NIH). Such grants can accommodate instruments of only modest cost. Benchtop equipment priced at $50,000 or more is common, however, and research in a number of fields is relying increasingly on equipment that costs from $100,000 to $1 million.

Trends in funding of scientific equipment in universities have long been dominated by federal spending, which accounted for 54 percent of the equipment in use in 1982-1983; the universities themselves are the next most important source of support and provided 32 percent of such funding. States directly funded 5 percent of the cost of the equipment in use in 1982-1983, individuals and nonprofit organizations funded 5 percent, and industry funded 4 percent. Federal funding of academic research--including the associated equipment--grew at an average annual rate of 15.7 percent, in constant dollars, during 1953-1967, but the rate fell to 1.6 percent during 1968-1983.

Besides its role in support of research, the government was a major contributor to the universities' massive capital expansion of the 1950s and 1960s, which included substantial amounts of scientific equipment. Again, however, the rate of federal investment turned downward. The government's annual spending on academic R&D facilities and equipment, in constant dollars, fell some 78 percent during 1966-1983.

RESPONSES TO THE PROBLEM

Both academic and federal officials responded to essentially level funding by supporting people over investment in capital equipment. The fraction of research-project support allocated to permanent university equipment by the National Institutes of Health declined from 11.7 percent in 1966 to an estimated 3.1 percent in 1985. At the National Science Foundation the fraction fell from 11.2 percent in 1966 to an average of 7.1 percent during 1969-1976. The federal mission agencies' support for research equipment declined similarly, although exact data are not available.

Efforts to ease the universities' serious difficulties with scientific equipment began to appear in the early 1980s. NSF increased its investment in academic equipment from 11 percent of its university R&D budget in 1978 to an estimated 17.5 percent in 1985. The Department of Defense launched a special five-year university instrumentation program, totaling $150 million, which is projected to run through 1987. The Department of Energy began a special $30 million program scheduled to end in 1988. The federal and state governments adopted tax incentives designed to encourage contributions of equipment by its manufacturers. State governments began to increase their funding of equipment for state colleges and universities and have initiated a range of development activities designed in part to attract industrial support for R&D in their universities.

The expanded federal investments were the result, in part, of the efforts of the Interagency Working Group on University Research Instrumentation, which was organized in mid-1981 to focus high-level agency attention on the university instrumentation problem. Its members were senior officials drawn from each of the six major agencies supporting research in universities--the National Science Foundation, the National Institutes of Health, the National Aeronautics and Space Administration, and the Departments of Agriculture, Defense, and Energy.

BACKGROUND OF THE STUDY

Although these initiatives are welcome, they clearly are not sufficient. Officials in academe and government agree that the equipment problem is critical and steadily growing and that ways to use existing resources more efficiently must be explored. In July 1982 at the request of the Interagency Working Group, the Association of American Universities, the National Association of State Universities and Land-Grant Colleges, and the Council on

Governmental Relations convened an ad hoc planning committee to consider whether a special effort was needed to address the following questions:

o Could changes be made in federal or state laws, regulations, or policies that would enhance the efficiency of acquisition, management, and use of academic research equipment?

o What more can universities do to improve the way they acquire, manage, and use research equipment?

o Does debt financing hold significant untapped potential for universities as a means of acquiring new research equipment?

o Can present tax incentives for the donation of research equipment to universities be revised to increase support from industry?

o Are there alternative methods of direct federal funding of research equipment that would yield a better return on the federal investment?

The resulting analysis was carried out jointly by the three associations with funding from the six federal agencies and the Research Corporation. Substantive direction for the study was provided by a seven-member Steering Committee chaired by Richard Zdanis, Vice Provost of Johns Hopkins University. Much of the field research was done by a three-member team: Robert Bock, Dean of the Graduate School at the University of Wisconsin; David Litster, Director of the Center for Materials Science and Engineering at MIT; and Julie Norris, Assistant Provost of the University of Houston. This team visited 23 universities and governmental and industrial laboratories; they met with more than 500 faculty investigators, department chairman, research and service center directors, deans and chief administrators, or the functional equivalents in government and industry. (A list of the places visited is appended to this summary.) The team and the firm of Coopers & Lybrand each produced background reports for the project.

RECOMMENDATIONS

The actions recommended below, as we stated at the outset, would clearly enhance efficiency in the acquisition, management, and use of academic research equipment. We would like to emphasize, however, that even if all these recommendations are acted upon, the universities' equipment needs are so large that they cannot be met without substantial increases in funding. Modernization, moreover, cannot be a one-time effort. Continuing investment will be required based on the recognition that laboratories in many fields of science have to be reequipped at intervals of five years or less. The universities, the states, and industry must share with the federal government the responsibility for modernization and long-term maintenance of the quality of scientific equipment at the nation's universities.

The recommendations that follow appear in the topical order employed in the full report: the federal government, the states, the universities, debt financing by universities, and private support for equipment.

The Federal Government

The federal government has been the major funder of research equipment in universities during the past four decades. Current federal funding mechanisms, however, do not comprise adequate means of regularly replacing obsolete or worn-out equipment with state-of-the-art equipment. Regulatory and procedural difficulties complicate the problem.

We recommend...

1. **That the heads of federal agencies supporting university research issue policy statements aimed at removing barriers to the efficient acquisition, management, and use of academic research equipment.** Few federal regulations, as written, contribute directly to the equipment problem. Inconsistent interpretation of regulations by federal officials, however, complicates the purchase, management, and replacement of research equipment and leads to unnecessarily conservative management practices at universities. Desirable actions are summarized in the recommendations below.

2. **That federal agencies more adequately recognize and provide for the full costs of equipment, including operation and maintenance, space renovation, service contracts, and technical support by...**

...providing these costs in project grants and contracts or ensuring that recipients have provided them.

...accepting universities' payment of costs such as installation, operation, and maintenance as matching funds on programs that require matching contributions by universities.

3. That federal agencies adopt procedures that facilitate spreading the cost of more expensive equipment charged directly to research-project awards over several award-years and allow the cost and use of equipment to be shared across award and agency lines. Individual research-project grants and contracts normally can accommodate equipment of only modest cost. Investigators, moreover, have difficulty combining funds from awards from the same or different agencies to buy equipment.

4. That federal auditors permit universities to recover the full cost of nonfederally funded equipment from federal awards when they convert from use allowance to depreciation. Office of Management and Budget (OMB) Circular A-21 permits such conversion as well as recovery of full cost. Auditors of the Department of Health and Human Services, however, permit recovery only as if the equipment were being depreciated during the time it was in fact covered by the use allowance. This practice, in effect, denies recovery of full cost.

5. That the Office of Management and Budget make interest on equipment funds borrowed externally by universities unequivocally an allowable cost by removing from OMB Circular A-21 the requirement that agencies must approve such charges. Interest on externally borrowed funds has been a permissible cost since 1982 at the discretion of the funding agency, but agencies have shown significant reluctance to permit it. The perception of inability to recover interest costs may lead university officials to decide against seeking debt financing for equipment.

6. That all federal agencies vest title to research

equipment in universities uniformly upon acquisition, whether under grants or contracts. Federal regulations on title to equipment vary among agencies, and such variability inhibits efficient acquisition, management, and use of equipment. Without assurance of title, for example, investigators hesitate to combine university funds with federal funds to acquire an instrument not affordable by a single sponsor.

7. **That the Office of Management and Budget make federal regulations and practices governing management of equipment less cumbersome by...**

...setting at $10,000 the minimum level at which universities must screen their inventories before buying new equipment and, above that minimum, permitting universities and agencies to negotiate different screening levels for different circumstances.

...raising the capitalization level for research equipment to $1,000 in OMB Circulars A-21 (now at $500) and A-110 (now at $300) and giving universities the option of capitalizing at different levels.

8. **That the Department of Defense eliminate its requirement that the inventory of the Defense Industrial Plant Equipment Center (DIPEC) be screened for the availability of specialized scientific equipment requested by universities before new equipment is purchased.** The descriptions of equipment in the DIPEC inventory do not permit a federal property officer to determine whether a scientific instrument in the inventory is an adequate substitute for the one requested. Hence, the requirement for screening is wasteful for both universities and

the government.

9. **That other federal agencies adopt the NIH and NSF prior approval systems.** Purchases of equipment with federal funds ordinarily must be approved in advance by the sponsoring agency. Purchases can be approved by the university, however, under the NIH Institutional Prior Approval System and the NSF Organizational Prior Approval System. These systems markedly improve speed and flexibility in acquiring equipment.

The States

State governments act as both funder and regulator in regard to academic research equipment, and conflict between these roles is inherent to a degree in the relationship between the states and their public universities. Still, we believe that in many cases the states could combine these broad roles more rationally and could otherwise help to ease the schools' difficulties with research equipment.

We recommend...

1. **That states assess the adequacy of their direct support for scientific equipment in their public and private universities and colleges relative to support from other sources and the stature of their schools in the sciences and engineering.** The states cannot displace the federal government as the major funder of academic research equipment, but judicious increases on a highly selective basis could be extremely beneficial to the scientific stature of states while simultaneously increasing the

effectiveness of funds available from federal and industrial sources.

2. **That states grant their public universities and colleges greater flexibility in handling funds.** Desirable provisions would permit schools to transfer funds among budget categories, for example, and to carry funds forward from one fiscal period to the next. Greater flexibility would not only improve the universities' ability to deal with the problems of research equipment, it would also be likely to provide direct savings in purchasing and would free academic administrators to discharge their responsibilities more efficiently.

3. **That states examine the use of their taxing powers to foster academic research and modernization of research equipment.** Tax benefits available under the federal Internal Revenue Code are also available in 34 states whose tax codes automatically follow the federal code. Relatively few states, however, have adopted tax benefits designed to fit their particular circumstances.

4. **That states revise their controls on procurement to recognize the unusual nature of scientific equipment and its importance to the research capability of universities.** Scientific equipment often is highly specialized. Instruments that have the same general specifications but are made by different vendors, for example, may have significantly different capabilities. The differences, furthermore, may be discernible only by experts in the use of the equipment. Desirable revisions in state controls would exempt research equipment from purchasing requirements designed for generic equipment and supplies, such as

batteries and cleaning materials; would vest purchasing authority for research equipment in individual colleges and universities; and would not apply rules beyond those already mandated by the federal government.

5. **That states consider revising their controls on debt financing of scientific equipment at public colleges and universities** to permit debt financing of equipment not part of construction projects, recognize the relatively short useful life of scientific instruments, and relieve the one- and two-year limits on the duration of leases.

The Universities

The universities' ability to acquire and manage research equipment efficiently is affected by their individual circumstances, their traditionally decentralized authority, the individual project-award system that funds much of the equipment, and state and federal regulations. Within this context, however, we have identified a number of management practices that warrant more widespread use.

Our findings indicate that universities would benefit from stronger efforts to improve their internal communications. Moreover, our recommendations on the whole imply a need for a more centralized approach than is now the general practice in universities' management of research equipment. We note that other developments, including the universities' growing interest in debt financing and strategic planning, also point toward more centralized management.

We recommend...

1. **That universities more systematically plan their allocation of resources to favor research and equipment in areas that offer the best opportunities to achieve distinction.** Such strategic planning should involve participation by both administrators and faculty. The process may well call for hard decisions, but we believe that they must be made to optimize the use of available funds.

2. **That universities budget realistically for the costs of operating and maintaining research equipment.** These costs impose serious and pervasive problems, and failure to plan adequately for full costs when buying equipment is widespread as well. Full costs include not only operation and maintenance, but space renovation, service contracts, technical support, and the like. Maintenance is particularly troublesome. Hourly user charges are commonly assessed to cover the salaries of support personnel and the costs of maintenance, but are difficult to set optimally and are rarely adequate.

3. **That investigators and administrators at universities seek agency approval to spread the cost of expensive equipment charged directly to research-project awards over several award-years.** As noted in Recommendation 3 under the Federal Government, individual research grants and contracts cannot normally accommodate costly equipment, and this problem would be eased by spreading costs over several years.

4. **That universities act to minimize delays and other problems resulting from procurement procedures associated with**

the acquisition of research equipment. To be most effective, the procurement process should be adapted to the specialized nature of research equipment, as opposed to more generic products. Similarly, specialized purchasing entities or individuals would facilitate timely acquisition of equipment at optimum cost. Also beneficial would be formal programs designed to inform purchasing personnel and investigators of the needs and problems of each.

5. **That universities establish inventory systems that facilitate sharing.** One such system is the basis of the research equipment assistance program (REAP) at Iowa State University. The REAP inventory includes only research equipment. REAP may not be cost effective for all universities, but most should find elements of it useful.

6. **That universities use depreciation rather than a use allowance to generate funds for replacing equipment,** providing that they can negotiate realistic depreciation schedules and dedicate the funds recovered to equipment. Universities can use either method, but rates of depreciation are potentially higher--and so recover costs more rapidly--than the use allowance (6 2/3 percent per year) because they can be based on the useful life of the equipment. Both methods, however, add to indirect costs, and neither can be used for equipment purchased with federal funds.

7. **That universities seek better ways to facilitate the transfer of research equipment from investigators or laboratories that no longer need it to those that could use it.** Faculty at most schools have no incentive to transfer equipment, excepting the need for space, and every incentive to keep it in case it

might be needed again. Some systematic mechanism for keeping faculty well informed of needs and availability of equipment would be useful.

Debt Financing of Research Equipment

Universities traditionally have used tax-exempt debt financing to pay for major facilities and lately have been using the method to some extent to buy research equipment. A number of financing methods can be adapted to the special characteristics of such equipment, but whatever the method, such financing competes with other university needs for debt. Debt financing imposes risk on the university as a whole, and so implies a shift from decentralized toward centralized authority.

We recommend...

1. **That universities explore greater use of debt financing as a means of acquiring research equipment, but with careful regard or the long-term consequences.** Universities vary widely in their use of debt financing, but a universal concern is the need for a reliable stream of income to make the debt payments. It should also be recognized that the necessary commitment of institutional resources, regardless of the purpose of the debt financing, erodes the university's control of its future, in part by reducing the flexibility to pursue promising new opportunities as they arise. Debt financing also increases the overall cost of research equipment to both universities and sponsors of research.

2. **That universities that have not done so develop expertise on leasing and debt financing of equipment.** This expertise

should include the ability to determine and communicate the true costs of debt financing and should be readily accessible to research administrators and principal investigators. The increasing complexity of tax-exempt debt financing, the many participants, the necessary legal opinions, and the various political and/or corporate entities associated with debt financing make it essential that universities fully understand the marketplace.

Private Support

The effects of the Economic Recovery Tax Act (ERTA) of 1981 on corporate spending on R&D and corporate contributions of research equipment to universities are not clear, for several reasons: the act has been in effect only since August 1981, its effects are entangled with other economic variables in a complex manner, and the uncertain future of the R&D tax credit, which is scheduled to expire at the end of 1985, may have skewed corporate response to it (the equipment donation provision is permanent). Nevertheless, the consensus appears to be that ERTA, suitably modified, should indeed spur technology, in part by fostering support for academic research and scientific equipment. We agree with this view.

We recommend...

1. That industry take greater advantage of the tax benefits provided by the Economic Recovery Tax Act (ERTA) of 1981 for companies that donate research equipment to universities and fund

academic research. Universities' experiences with industry indicate that company officials may not be fully aware of the benefits available, although company tax specialists generally are well informed.

2. **That universities seek donations of research equipment more aggressively by developing strategies that rely in part on the tax benefits available to donors.** Sound strategies would stress both federal and state tax benefits as well as other important benefits to both donor and recipient.

3. **That Congress modify ERTA so that...**

...equipment qualified for the charitable donation deduction include computer software, equipment maintenance contracts and spare parts, equipment in which the cost of parts not made by the donor exceeds 50 percent of the donor's costs in the equipment, and used equipment that is less than three years old. Computers are properly viewed as computing systems, which are incomplete without software. Maintenance of scientific equipment is costly to the point where universities have declined donations of equipment because they could not afford to maintain it. Makers of sophisticated equipment rely primarily on their technological knowledge, not their ability to make parts. Thus the limit on parts from outside suppliers is unrealistic, provided that the manufacturer is in fact in the business of developing and making scientific equipment.

...the provisions on the R&D tax credit are made permanent, with revision to create an additional incentive for companies to support basic research in universities. Equipment acquired under research contracts qualifies for the credit, but ERTA currently provides the same incentive for companies to contract for research in academe as for research by other qualified organizations.

...the social and behavioral sciences are made qualified fields of academic research in terms of the equipment donation deduction and the R&D tax credit. The social and behavioral sciences contribute to the application and utilization of science and technology, and they rely increasingly on research instrumentation.

...qualified recipients of equipment donations and R&D funding, in terms of ERTA tax credits, include research foundations that are affiliated with universities but remain separate entities. Some state universities have established such foundations to receive and dispose of donated equipment because they cannot dispose of it themselves without legislative consent.

These actions, we are convinced, *would* yield material benefits in the acquisition and management of research equipment by universities. The rationale for them here is necessarily brief. Much fuller background will be found in the five chapters of the full report, where these recommendations also appear.

SITE VISITS

UNIVERSITIES

Public:
- Colorado State University
- Georgia Institute of Technology
- Iowa State University
- North Carolina State University
- Texas A&M University
- University of Illinois, Urbana
- University of Minnesota
- University of New Mexico
- University of North Carolina, Chapel Hill
- University of Texas, Austin
- University of Virginia

Private:
- Carnegie-Mellon University
- Columbia University
- Duke University
- Harvard University
- Massachusetts Institute of Technology
- Princeton University
- Rice University
- Stanford University
- University of Chicago
- University of Delaware
- University of Pennsylvania
- Washington University, St. Louis

CORPORATE LABS

Beckman Instruments, Inc.
Dupont
Hewlett-Packard
Honeywell
Microelectronics Center of North Carolina
Syntex Research

GOVERNMENT LABS

Los Alamos National Laboratory
Sandia National Laboratories
Stanford Synchrotron Radiation Laboratory

STATE AGENCIES

North Carolina Board of Science and Technology

APPENDIX III

TAX-EXEMPT BONDS

RECOMMENDATION

Tax-exempt financing for college and university facilities, both public and private, should be retained as under current law.

CURRENT LAW

Under the Internal Revenue Code the income from bonds issued by state and local governments to finance public projects or services is exempt from federal income tax. Where public purposes will be served by certain private activities, state and local governments may provide tax-exempt financing for those activities by authorizing private activity bonds.

Because both public and private institutions of higher education serve identical public purposes, many states have established state educational facilities authorities which do not distinguish in any substantial way between public and private institutions in allowing tax-exempt issuances. Both public and private institutions have used tax-exempt facilities bonds for such purposes as construction and renovation of academic buildings, libraries, and dormitories; improving access to existing facilities for the handicapped; developing energy management and conservation systems; and building clinical teaching facilities and academic health centers.

Responding to concern over the volume of tax-exempt bonds used to finance private activities, Congress imposed volume limitations on industrial development bonds and on student loan bonds as part of the Tax Reform Act of 1984. Congress decided, however, that bonds issued to provide financing for Section 501(c)(3) organizations for facilities should not be subject to the statewide volume limitations. The rationale for this action was that private non-profit organizations, because of their social utility, should continue to benefit from tax-exempt financing. Congress considered this exception to be consistent with the general treatment of such organizations insofar as they are exempt from federal taxes.

THE PRESIDENT'S PROPOSAL

The President's tax reform proposal contends that access to tax-exempt financing exists as a matter of comity between the federal government and state and local governments. The proposal would tax interest on obligations issued by a state or local government "if more than one percent of the proceeds [use of the facility is considered use of the proceeds] were used directly or indirectly by any person other than a State or local government" completely eliminating the availability of tax-exempt financing to "nongovernmental persons," including private colleges and universities. In addition, significant changes in the areas of arbitrage and advance refunding would limit the issuance of tax-exempt bonds for the benefit of public colleges and universities.

WHY ACCESS TO TAX-EXEMPT FINANCING FOR COLLEGE AND UNIVERSITY FACILITIES SHOULD BE RETAINED

The proposal creates an unfair and arbitrary distinction between institutions serving identical public purposes. The diversity or the American system of higher education and its absence of any central control is one of its greatest sources of strength. Creation of distinctions between public and private institutions would be contrary to a long tradition of equal treatment in higher education.

The financial repercussions for colleges and universities would be severe. Studies have estimated the total facilities need at the nation's colleges and universities at $40 billion. With the exception of $50 million appropriated in 1984, no federal funds have been available for facilities construction since the early 1970s. The tax-exempt bond market provides the only practical access to the capital needed. Private funding is rarely available for the vast sums of money that it takes, for example, to finance a major expansion of a campus utilities system. Moreover, many facilities needs such as access for the handicapped, hazardous waste disposal facilities, and compliance with safety and health regulations are imposed by federal, state, and local ordinance. Colleges and universities are unable rather than unwilling to assume the additional cost of financing loans and facilities in the taxable market.

Repeal of the tax exemption for so-called private-purpose bonds would raise an insignificant amount of revenue in the battle to reduce the deficit. Coopers & Lybrand found in a study released on July 17, 1985, that the President's proposal to eliminate the exemption would result in a cumulative revenue gain of only approximately $2 billion from 1986 to 1990, not $14 billion as was estimated by Treasury. Moreover, in 1984 tax-exempt higher education facilities financings accounted for less than 3 percent of the long-term tax-exempt bond market. Student loan bonds represented only 1% of the long-term tax-exempt education bond market in 1984. Thus, the volume of Section 501(c)(3) bonds for educational facilities is relatively insubstantial and their removal from the capital markets would be unlikely to affect interest rates significantly.

08/22/85

Senator **Stafford**. Thank you very much, Dr. Jordan.

I am very glad to welcome to the committee a very valuable member, Senator Simon from Illinois. Senator, if you have any opening statement you want to make, this would be the time to do it.

Senator **Simon**. Thank you. I am here to learn.

Senator **Stafford**. Well, we are in the same position, then, and I do have one or two questions of this panel.

Dr. Sproul, you stated in your testimony that maintenance of laboratory equipment is difficult. How has this affected the laboratory component of engineering?

Dr. **Sproul**. Well, as Dr. Jordan said, one of the very serious effects that it has had, has been the fact that we have cut out many laboratories. Several of my departments have fewer lab experiences for their undergraduate students that they had formerly had.

We are in the business throughout engineering education of attempting to rectify that situation, and as we are discussing, one of the great difficulties in doing that is the maintenance cost on these very complex instrumentation devices, and pieces of equipment that we now need to get that job done with.

Senator **Stafford**. Let me ask this question of you both. What success, if any, have you had in your institutions in getting complicated pieces of machinery provided, or, instruments provided to you by private industry that may be interested in your product, in terms of students that are graduating from the engineering courses?

Dr. **Sproul**. Well, if I could lead off on that, Data General—the most recent gift to our campus was from Data General, consisting of one of their MV Horizon 10,000 computers. The total gift, one that was wrapped up, including software, and so on, was a half a million dollars.

They would not accept the proposal from us for that gift if we had included any maintenance costs.

We have been modestly successful at that; however, I might add, that we have been approached by other equipment manufacturers to entertain proposals from us for equipment, but we have declined to submit, even in the face of, not a wired, not a guaranteed gift, but one very likely that would come through, and faced with that, we just did not think that we could maintain the equipment and so we did not submit the application for the gift.

Senator **Stafford**. Dr. Jordan.

Dr. **Jordan**. Senator, Penn State has received a number of substantial gifts from major technical manufacturers in terms of millions of dollars, not as many as we could have gotten, however, had we had maintenance funds.

I can only echo what Dean Sproul says. The idea of setting aside 10 to 15 percent for maintenance of that equipment in the title VII amendments would be, I think, very, very helpful.

Senator **Stafford**. Has business shown any inclination to give colleges such as the two of you represent, maintenance contracts for equipment, as a gift, or at a discount?

Dr. **Sproul**. If one looks at many of the equipment manufacturers, some 20 to 30 percent of their bottom line profit does come from their service component of their business, the balance from the manufacture of the hardware, and they just are very unwilling, in the face of no tax incentive to do so, to even let us propose to them that they be requested to support that.

So we just do not get an opportunity, right now, to ask them for that because of the lack of tax incentive on their part.

Senator STAFFORD. I see.

Dr. JORDAN. There may be a maintenance gift at Penn State. If there is, however, I do not know of it, Senator.

Senator STAFFORD. All right. Thank you both very much. Senator Simon, do you have some questions?

Senator SIMON. Yes; just one question. In a sense you are preaching to the converted here. We would both like to move ahead. The difficulty is, how do you do it within the contraints of our budget? You face the same problems, obviously. One of the intriguing ideas, that has been suggested by Senator Dodd, is that we authorize Sallie Mae to make loans for equipment to colleges—not subsidized, but obviously, probably at better rates than you could get going to your local banks, or Chase Manhattan, or some place.

Does that offer any real alternative, or is that just creating some long-range problem for you?

Dr. SPROUL. Well, we have considered, in our own State, the State of New Hampshire, at my university, funding equipment grants, or equipment purchases through bonding, with a need obviously to pay that off afterward.

I have resisted that somewhat since it mortgages, in part, our future. In addition, at least in New Hampshire—and I do not know about Senator Dodd's proposal, but the maintenance problem is still going to exist, and once you have the equipment on the campuses, the problem does not end there.

One has to maintain and upgrade, and equipment obsolescence is very rapid on our campuses as well as in U.S. industry.

Senator SIMON. Thank you.

Dr. JORDAN. Senator, as far as Penn State is concerned, the fact that we have the ability to borrow money through a bonding arrangement is perhaps the best way for us to go, limited of course by our ability to service the debt. We would not find the Sallie Mae approach to be particularly useful at Penn State, which is not to say it could not be useful elsewhere.

Senator SIMON. If—and we do not know what is going to be happening in the area of tax-exempt bonds—but if they become more scarce—and that may very well be the case—is the Sallie Mae approach at that point——

Dr. SPROUL. Well, we would certainly want to look at it in that case because that would severely limit our ability to build new facilities, to refurbish facilities, and buy equipment. Absolutely. I would hope that does not happen, Senator.

Senator SIMON. Thank you. I would be interested in your both taking a look at the Dodd proposal—I frankly have not had a chance to look at it in detail myself—and sending me a letter, and a copy to the chairman, so we can get that in the record.

Dr. JORDAN. We would be pleased to.

Senator SIMON. Thank you. I have no further questions, Mr. Chairman.

Senator **Stafford**. Thank you very much, Senator Simon, and thank you very much, gentlemen, for joining us. We appreciate it very much.

The next panel, panel 3, will consist of Dr. Harriet Alger who is the dean, Early Childhood Division, State University of New York College at Cobleskill, New York, and Miss Kerry McGinnis who is a former student at Ohio State University, from Columbus, OH.

You have heard my request for 5-minute summaries, and your full statements will be in the record.

I have two daughters living in Byrne, NY which is not far from Cobleskill, so I have become familiar with that location.

Dean, we usually get pretty close to Cobleskill. Why don't you go first.

STATEMENTS OF DR. HARRIET ALGER, DEAN, EARLY CHILDHOOD DIVISION, STATE UNIVERSITY OF NEW YORK COLLEGE AT COBLESKILL, COBLESKILL, NY; AND MS. KERRY McGINNIS, FORMER STUDENT, OHIO STATE UNIVERSITY, COLUMBUS, OH

Dr. **Alger**. Mr. Chairman, and Senator Simon, I appreciate the opportunity to testify today about the importance of providing direct child care support to students through the Higher Education Act.

My personal and professional involvement with campus-related child care services dates from 1966, first as a single student-parent of three small children, and later as a child care center director, a college faculty member, and a college administrator.

These experiences have taken place on the campuses of 2-year and 4-year colleges and universities, private and public, in urban and rural areas, principally in Ohio and in New York.

As a member of the executive board of the National Coalition for Campus Child Care, I have also served as a consultant for campus child care centers across the country.

Despite the diversity of the settings, the provision of child care for student-parents has been a common concern on every one of these campuses. When I was at Cuyahoga Community College in Cleveland in the early 1970's, child care was an important issue in the struggle for equal access to higher education for poverty and minority populations in that community.

Several years later, as director of an early childhood center in Oberlin, OH, it was such a constant struggle to maintain support for the operating budget, that I have been doing workshops on multisource funding ever since.

One of the most serious problems there was the inability to pay teachers enough, so that they often had to take other jobs in order to support their families.

I am now on the campus of an agricultural and technical college located in beautiful rural Schoharie County of New York, which despite its beauty has one of the most depressed economies in the State.

Once again I am struggling to find the funding to support a sliding fee scale for families who cannot afford the full cost of our campus child care, and to pay staff enough to guarantee that we will be able to hire and keep well-trained capable people.

Most of the adults who require care for children while they go to school are women, and a large percentage of these women are single parents. Statistics show that women still earn considerably less than men. This is particularly true of single women who are heads of households, because of the high incidence of poverty among this group.

Access to education at the college level can make a difference. A major problem for women seeking to enroll in college is finding available, affordable quality child care.

I notice this morning that the only two women witnesses are those testifying for child care, which probably tells us something.

The most effect routes to productive employment for parents, in my experience, have been college degree programs.

Some job-training programs have prepared people for unskilled employment that provided only poverty-level incomes.

Some training has proven to be a "dead end," with no employment available when it was finished.

In contrast, the parents who were able to attend college programs were much more successful in raising the standard of living for their families.

Most parents, and certainly most student-parents, cannot afford the full cost of good care. All of us support education whether we have children or not, because an educated citizenry is important to our society. The 5 years of children's lives are as important as the school years, if not more so, and society cannot make a better investment in the future than to ensure that all young children have the care they need to develop fully.

Longevity studies have shown that children who attend a good preschool program such as Headstart are less likely to require remedial services in school, less apt to drop out of school, less often involved in juvenile crime, more likely to go on for training after high school, more likely to be employed as adults with better paying jobs.

The cost to society for these children has been one-seventh of the costs that have resulted when children did not have good preschool experiences.

Good child care is also sure to be cost-effective and poor child care expensive over the total life span of the children involved.

There is a myth that anyone can take care of very young children in child care settings because anyone can be a parent.

That makes no more sense than saying that anyone who cooks at home is sure to be a good cook and capable of running a restaurant. Taking care of young children in groups requires training and skill. If child care staff are neglectful or incapable, they may affect the welfare and the future of hundreds of children.

Lack of appropriate experiences in the first 5 years of life can lead to serious emotional and intellectual handicaps.

Children need a safe and healthy environment, affection and warm relationships, responsive adults to talk to and listen to so that communications skills develop, and stimulating materials and experiences to produce an understanding of the world around them.

Funders of child care programs have sometimes said that we cannot afford quality child care. It is important to know that quality child care is like quality nutrition. Anything less has the potential for serious harm to children.

The turnover rate of care givers, both in family day care homes and in centers is high because of long working hours, poor working conditions, limited support systems and low pay.

Since most staff employed in child care centers are women, this is another example of the inequity of pay and benefits in fields that are considered women's work.

Most child care centers also need better facilities that meet all licensing requirements, and the requirements of good developmental care for children.

It is important that subsidies provided for child care services be sufficient to meet the costs of quality care.

Adequate subsidies will also support good child care programs on or near college campuses. A work experience program will provide practical experience and income for students, help centers keep a low adult-child ratio, give children more individual attention, and ease the burden on regular paid staff.

Construction and renovation funds will make it possible to improve or to replace child care facilities that have had serious problems in providing safe, healthy learning environments for children.

The provision of good care for children is a family issue, a children's issue, a women's issue, and should be a national priority.

I urge you to support the amendments to the Higher Education Act as proposed in Senate bill 809.

These amendments will make a significant contribution to equal access to higher education and to the welfare of chidren and those who care for them.

[The prepared statement of Dr. Alger and responses to questions submitted by Senator Hatch follow:]

TESTIMONY BEFORE
THE SENATE COMMITTEE ON LABOR AND HUMAN RESOURCES
SUBCOMMITTEE ON EDUCATION, ARTS AND HUMANITIES

CONCERNING CHILD CARE AMENDMENTS TO THE HIGHER EDUCATION ACT OF 1965

by

Harriet A. Alger, Ph.D.
Dean, Early Childhood Division
State University of New York
College at Cobleskill
Cobleskill, New York

October 10, 1985

Mr. Chairman, members of the Committee, I am Harriet Alger, Dean of Early Childhood Education at the State University of New York, College at Cobleskill. I appreciate the opportunity to testify about the importance of providing direct child support to students through the Higher Education Act.

My personal and professional involvement with campus related child care services dates from 1966, first as a single student-parent of three small children and later as a child care center director, a college faculty member, and a college administrator. These experiences have taken place on the campuses of two year and four year colleges and universities, private and public, in urban and rural communities, principally in Ohio and in New York. As a member of the Executive Board and a former Chairperson of the National Coalition for Campus Child Care, I have also served as a consultant for campus child care centers across the country. Despite the diversity of the settings, the provision of child care for student-parents has been a common concern on every one of these campuses.

S. 809 addresses two important child care issues:

- lack of adequate child care support for parents enrolled in institutions of higher learning
- lack of adequate support for child care centers that are trying to provide good care for the children of student-parents

When I was at Cuyahoga Community College in Cleveland in the early seventies, child care was an important issue in the struggle for equal access to higher education for poverty and minority populations in that community.

Several years later, in Oberlin, Ohio, I was director of an early childhood center that received funding to subsidize care for the children of students and other low income families from Oberlin College, United Way, Title XX, the local government, businesses and industries. As the budgets of all these sources were strained, it was a constant struggle to maintain this support or to find new sources. I have been doing workshops on multisource funding ever since. One of the most serious problems was the inability to pay the teachers enough. Despite their dedication and their skill, they often had to take other jobs in order to support their families.

I am now on the campus of an agricultural and technical college located in beautiful, rural Schoharie County of New York. Despite its beauty, this County has one of the most depressed economies in the State. The number of poverty families is lower than that in the cities, but the percentage of those in poverty is high and the needs of individuals and families in the poverty sector are serious. Those who are unemployed need training and the opportunity for self-sufficiency. Our residential junior college campus has seen enrollment of mature students rise from 50 to 700 since 1981. The Early Childhood Division has expanded its child development nursery school program and added a full-day child care center. Once again I am struggling to find the funding to support a sliding fee scale for families who cannot afford full cost and to pay staff enough to guarantee that we will be able to hire and to keep capable well trained people.

The number of adults in college has steadily increased since the early seventies. Most of the adults who require care for children while they go to school are women and a large percentage of these women are single parents. The Children's Defense Fund reports that there was an 83 percent increase in the number of women enrolled in college between

1970 and 1982, a 249 percent increase in women students age 25 to 29, and a 314 percent increase in women students age 30 to 34. Some women have enrolled in college because they did not have the education needed to find and keep employment. Many have been widowed, separated or divorced. Some worked to enable their husbands to get college degrees and then enrolled in college themselves. Other women are in school because of the recognition that:

- they may some day be widowed or divorced
- women have a right to career choices
- it is often necessary to have two incomes in today's economy in order to afford the basic needs of a family: housing, food, clothing, medical care and education

In each of these situations, the women involved are able to contribute more to society as a result of their education. This is particularly true of single women who are heads of households because of the high incidence of poverty among this group. Statistics show that women still earn considerably less than men. Access to education at the college level can make a difference. Women seeking to enroll in college have continually told us that a major problem for them was finding available, affordable quality child care.

College programs provide the most effective job training.

I have worked with comprehensive early childhood programs which encouraged and assisted parents in obtaining more schooling or job training. The most effective routes to productive employment for these parents, in my experience, have been college degree programs. Robert A. Corrigan, Chancellor of the University of Massachusetts at Boston has said: "As individuals confront the increasing complexities of American society in the eighties, higher education becomes more important than it has been at any other time in our history. It is no longer 'nice to have,' 'a privilege for the privileged,' or 'the thing to do' after high school. It is a necessity if one is determined to be a productive member in many segments of our work force." (Focus On Learning, 1984.) I understand that minority enrollment in college is declining, a tragic situation since the income level of minority groups is considerably lower than that of the general population and unemployment among these groups is appallingly high.

Some job training programs have prepared people for unskilled employment that provided only poverty level incomes, continuing and compounding problems for mothers and their children. Some training has proven to be a dead end with no employment available when finished, a serious blow to motivation. In contrast, the parents who were able to attend college programs were much more successful in raising the standard of living for their families and in building a positive attitude about themselves and their potential.

The fundamental problem in providing good child care is the lack of a sufficient, reliable funding base.

Most parents, and certainly most student-parents, cannot afford the full cost of good care. All of us begin paying for our children's public school education before we have children and continue to support education whether we have children or not because an educated citizenry is important to our society. We need to recognize that the first five years of children's lives are as important as the school years, if not more so, and that society cannot make a better investment in the future than to insure that all young children have the care they need to develop socially, emotionally, physically and intellectually.

Longevity studies have shown that children who attended good preschool programs such as Head Start were less likely to require expensive remedial services later in public school, less apt to drop out of school, less often involved in vandalism or juvenile crime, more likely to go on to vocational or academic training after high school, more likely to be employed as adults with better paying jobs, less apt to be receiving public assistance. Cost to society for these children has been one seventh of the costs that result from poor preschool experiences.

Young children in child care from low income families have the same needs as those in Head Start programs. It is ironic that children who have been enrolled in good developmental Head Start programs often receive substandard care, with all of the hazards that implies, when their mothers seek self-sufficiency and become wage earners.

Policy makers support Head Start recognizing the impact it has on the lives of children and their families. It is time that policy makers support good child care for the same reasons. Good child care is sure to be cost effective and poor child care expensive over the total life span of the children involved.

Cuts in Title XX funds for child care have seriously and adversely affected parents' ability to get child care subsidies and have jeopardized the support for sliding fee scales in good child care programs.

Cuts in work study programs have made it more difficult for students to earn income to support their education. These cuts have also meant that less work study students were available to work in child care centers, making it more difficult for centers to provide a low adult-child ratio.

The number of children cared for by each adult and the number of children in each group in a center are important factors in the quality of care.

Another basic problem in the provision of good child care is the lack of general understanding of what the needs of young children are, why it is important to meet those needs in the early formative years of life and how those needs are best met.

There is a myth that anyone can take care of very young children in child care settings because anyone can be a parent. This makes no more sense than saying that anyone who cooks is sure to be a good cook and capable of running a restaurant.

Taking care of young children is challenging as any parent can testify. Taking care of young children in groups requires training and skill. If parents neglect children, they generally only affect their own. If child care staff are neglectful or incapable, they may affect the welfare and the future of hundreds of children.

Most child neglect whether it takes place in children's own homes, in family day care homes or in day care centers occurs because the adults in charge do not know:

- what children's developmental needs are
- how to guide and support normal development so that problems can be prevented
- how to identify and alleviate problems that do develop without becoming angry and frustrated

Lack of appropriate experiences in the first five years of life can lead to serious emotional and intellectual handicaps. Whether cared for by parents, relatives, babysitters, family day care providers or teachers in centers,children's needs are the same:

- a safe and healthy environment
- affection and warm stable relationships
- good nutrition
- responsive adults to talk to and listen to so that communication skills develop
- varied and stimulating materials and experiences to promote understanding of the world around them.

Funders of child care programs have sometimes said that we cannot afford "quality" child care and will have to settle for custodial care. It is important to know that quality care is like quality nutrition, anything less has the potential for serious harm to children. We now have a solid research basis for stating in the strongest terms that custodial care (routine physical care only) whether given in children's own homes or in child care settings is not only insufficient, it is damaging.

High turnover rate of staff of day care centers and of family daycare home providers is another major problem.

If we want the adults who care for children to enjoy them and to nurture children's growth, we must make sure that they are not continually overtired, overburdened, underpaid and stressed. I have attached to this testimony a statement made by the Ohio Association for the Education of Young Children in 1982 about the harsh realities of jobs in the child care field. The turnover rate of caregivers both in family day care homes and in centers is high because of long working hours, poor working conditions, limited support systems and low pay. This turnover results in lack of a secure and stable environment for children who need to be with familiar, caring adults. Since most staff employed in child care centers are women, this is another example of the inequity of pay and benefits in fields that are considered "women's work."

Most child care centers also need better facilities.

Space on or close to campuses is at a premium. Much available space is unsuitable. There is a need for well designed new or renovated centers that meet all licensing requirements and the requirements of good development care for children. Funds for construction or renovation have been insufficient or unavailable to meet this need.

The bill under consideration, S 809, can, if passed, make a significant contribution to the solution of some of the problems associated with trying to provide good care for the children of college students.

It is important that subsidies provided for child care services be sufficient to meet the costs of quality care. No matter how good the cause for adults, children have rights and must be protected. Any care given must be developmentally sound.

Adequate subsidies will also support good child care programs on or near college campuses and help to establish better salaries, fringe benefits and working conditions for the staff of those centers. All of these improvements will directly affect the quality of the care given to children.

A work experience program which allows centers to hire students as part-time caregivers has two main benefits: it will provide both practical experience and income for students and will help centers keep a low adult-child ratio, giving children more individual attention and easing the burden on regular paid staff.

Construction, reconstruction and renovation funds will make it possible to improve or to replace child care facilities that have had serious problems in providing safe, healthy learning environments for children.

The provision of good care for children is a family issue, a children's issue, a women's issue and should be a national priority. I urge you to support the amendments to the Higher Education Act as proposed in S. 809.

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Responses to questions from Senator Hatch to all witnesses at Higher Education Reauthorization hearings from Dr. Harriet Alger, Dean, Early Childhood Division, State University of New York, College at Cobleskill, New York, testifying in support of Child Care Subsidies as provided in S. 809.

1. The proper division of responsibility between student, parents or other family, educational institution, the private sector, and government in financing post-secondary education.

RESPONSE: Students who need care for their children are rarely supported by parents or other family. They are almost always heads of households who have either been self-supporting or have been supported by spouses. They are usually motivated to enter college because of separation, divorce, death of a spouse, loss of a job or inability to make ends meet on a limited income. They usually need financial aid including assistance with child care costs. Access to higher education helps these parents to become more productive citizens. Provision of good pre-school care for their children should be of prime concern to all of us, since failure to provide good care for children in their early formative years creates expensive and tragic problems that can last the rest of their lives. Support for these two areas is a wise investment of government dollars because they are cost effective.

2. The proper balance between loans, grants and work in financial aid packages in order to ensure a student's maximization of his education.

RESPONSE: Loans carry with them the burden of repayment. The assumption that someone who graduates from college will have a high enough income soon after graduation to repay loans has sometimes been a false one. The most realistic and the most helpful loans are those with low interest repayable over a long period of time and loans which can be exempted from payment if a specified time is spent in public service after graduation. Grants, scholarships and fellowships are most helpful to students because they are repaid indirectly through future contributions to society rather than as a direct payment burden after graduation. Work and financial aid packages can be very helpful since they eliminate the need to search for part-time jobs. Work study is particularly helpful if the assigned work relates to the student/parent's major field.

3. Whether or not more resources for financial aid should be channeled to institutions for disbursement through them to students and why.

RESPONSE: Resources for financial aid should, in my opinion, be channeled to colleges and universities, with appropriate guidelines, for disbursement through them to students. Direct contact with students allows these institutions to administer the funds realistically and responsively.

4. Whether or not, and how, greater concern with a student's educational achievement levels should be made a part of criteria for financial aid.

RESPONSE: Students receiving financial aid should be expected to attend classes regularly, to exhibit motivation and interest, to be faithful about turning in assignments and to have passing grades. However, an adjustment period is often needed at the beginning of their scholastic careers if they have been out of school for sometime, have had poor preparation for college work, or are going through difficult personal circumstances.

10/31/85
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Senator **Stafford.** Thanks very much, Dr. Alger. Miss McGinnis, we would be glad to hear from you.

Ms. **McGinnis.** Thank you, Chairman Robert Stafford, for this opportunity to speak in support of Senate bill 809.

My name is Kerry Schmidt McGinnis, I am 26 years old, and a 1985 spring graduate of Ohio State University with a BA in humanities.

During our graduation exercises, I thought of all the people that enabled me to receive my diploma: my family, my husband, my son, professors, et cetera.

But it occurred to me that I should thank you because I would not have graduated without Pell grants, federally funded student loans, and particularly the title XX child care assistance, without which I would not have graduated nor my husband, from Ohio State University.

There is not a tradition of higher education in my family. When I arrived at OSU in 1977 I was in alien territory.

My parents are civil service workers at the Defense Construction Supply Center in Columbus, and they are high school graduates who did not have a choice about college education.

For my father there was the Korean war and for my mother, she had to work to support her mother. My father lucked out by getting into computers.

Since both of my parents worked, we were, I guess, technically middle class but we never made the big jump to the suburbs, so I grew up in a housing project, and that convinced me I wanted something else.

But in the junior high school and the high school, they were just pushing us, just pushing us into vocational programs. When I told the guy, you know, a counselor, "I want to go to college," they would say, "Well, just pick a vocational program."

So in 1977 I go to OSU. I was scared to death and I came from a high school where I was at top of the class. Of course our high school was more known for sports and racial unrest than academics, and so for the first time in my life I had to try to get a C-plus in a class, and that was a big ego crush.

So I had to work flipping burgers to pay expenses, et cetera. My grades plummeted and I was academically dismissed in 1980.

OK. I met my husband, had a kid, got married. Hah. My husband was a student. He was further along in his program, so I said, you know, you get to go to school.

For the first year he went to school we did not have child care. We were on the waiting list at OSU, and it was really tough, you know. So I put my son's name on the waiting list and we waited and we waited. I made myself kind of a "pain" because I figured, you know, how long can it take?

So during this time, I periodically checked the status of the application, and I was sure they lost it, and then I researched other day care centers and I found out why there was such a long waiting list.

This is one of the few in Columbus, and any where, that has a sliding fee scale. A superiorly trained staff, a teacher, and an excellent ratio of teachers to children. Today, there are over 400 people on the waiting list competing for 207 positions.

The title XX funds are equally in demand. This fall, there were 20 little toddlers eligible for nonexistent title XX funds.

My son got a position in 1982 and the funds were available, and I became an English major, and I fit in then. I was used to the system there, and because of this, my husband and I were both able to work and go to school.

I then realized how lucky I was to have this because a lot of parents put off their education because they do not have child care, or its poor, or all that. I graduated and I am now trying to get a job at the university in civil service. My long-term goals include trying to get into law school.

My husband graduated in accounting and he is employed by Wendy's International and climbing the corporate ladder of success, et cetera.

Title XX is a vital program It is beneficial to both students and taxpayers, and it enables intelligent poor people to get the education they need to become productive tax-paying citizens.

I am here today as a degreed person because of this program and it contributed to my education as much as the Pell grants did.

If not for title XX, the doors that are just barely open to me as a college graduate would be closed. It is not a pacifier for deadbeats.

This is a shrewd investment in the future for adults and children.

Again I urge your support of Senate bill 809 because of the dollars made available for day care and for low-income students.

Thank you for your sincere concern and attention to these important issues.

[The prepared statement of Ms. McGinnis follows:]

TESTIMONY CONCERNING ADDING CHILD CARE SUPPORT TO THE HIGHER EDUCATION ACT. PRESENTED BEFORE THE SENATE LABOR AND HUMAN RESOURCES COMMITTEE SUBCOMMITTEE ON EDUCATION, ARTS, AND HUMANITIES.

Kerry Schmidt McGinnis

recent graduate
The Ohio State University
Columbus, Ohio

Thank you, Chairman Robert Stafford, for this opportunity to speak in support of Senate Bill #809. My name is Kerry Schmidt McGinnis. I am 26 years old and a 1985 Spring graduate of Ohio State University with a B.A. in Humanities. As directed by the commencement speaker during graduation exercises, I dutifully thought of all the people who enabled me to receive my diploma; my husband, family, my son, professors, etc. But is has occurred to me that it is you I should thank because the federal government, the American tax payers, paid for over half of my education. Without Pell grants, federally guaranteed student loans and particularly the Title XX Child Care Assistance, neither my husband nor I would have graduated from Ohio State University

There was no tradition of "higher education" in my family. When I arrived in 1977 at O.S.U. as a freshman I was in alien territory. My parents are Civil Service Federal employees at the Defense Construction Supply Center in Columbus. They are high school graduates who didn't have to make choices about college. For my father the Korean War beckoned, and my mother had to support her mother. My father "lucked out" as he says, by getting into computers during that era and riding the crest to the present.

Both of my parents worked and I guess we were "middle class". We never made the big move to the suburbs and my upbringing in a housing project convinced me that I wanted something else. That something else included escape into college.

I was made painfully aware of the alternatives to "college prep" curriculum in an innercity junior and senior high school. All students were told to select a vocational field that appealed to us. When I reminded the guidance counselor I was going to college, she smiled and said, "Just pick one". Less than 3% of my high school class went to college. The alternatives were military service, blue collar jobs or a series of dead end minimum wage jobs flipping burgers. I knew I wanted to learn!

When I entered OSU in 1977 I was foolishly confident. I entered as the head of my class from a high school that was known more for sports and racial unrest than for members of the National Honor Society. For the first time in my life I had to try to get C+'s.

My college career from 1977 - 1980 was spotted. In order to pay my "half" of my college expenses, I worked 40 hours a week, flipping burgers. My grades faltered and plummeted. I was academically dismissed in 1980. That was it, I was sure. My academic career was ended.

I met my husband, married him and had a child. My husband was a student, and further along in his program of study than I. (By that time, I was sure I wanted to go back, but I didn't know what field I wished to specialize in.) By some fluke I passed the Ohio State University day care center for student, staff, and faculty, and put my son, Bowen's, name on the waiting list. I waited and waited. I waited a year before there was an opening for him. Luckily, the Title XX funds were also available. During that year of waiting, I had periodically checked the status of the application, sure that they had lost it. After researching other day care centers, I discovered the reason for the awesomely long waiting list. O.S.U. day care (unlike most other schools) has a sliding fee scale, a superiorly trained staff of teachers, and an excellent ratio of teachers to children. Today there are over 400 people on the waiting lists, competing for 207 positions. Title XX funds are equally in demand; this fall there are 20 preschoolers eligible for 'non-existent' Title XX funds.

My son got a place in fall of 1982, and as I said, the Title XX funds were available. At that time I petitioned to be re-admitted as an English major in the Arts & Sciences College and applied for Pell grants. This time, I was ready for college. O.S.U. wasn't a place where everyone fit in except me. The competition and sheer size of the student body no longer scared me. I had a supportive family, an accommodating job and most importantly, reliable, reasonably priced, quality convenient child care. My husband and I were both able to work and go to school.

Upon re-entry to O.S.U., I became aware of how "lucky" I was to have such a good child care situation. Most student parents that had partners, had sacrificed schooling, (or their partners had) to take care of the children. Many were waiting to get into O.S.U. day care, and for Title XX funds.

I graduated and am now applying and interviewing for entry level University Civil Service positions starting at $13,000-$15,000 a year. My long term goals include furthering my education in law school. My husband graduated in 1983 with a Bachelors of Science in Accounting. He is now employed by Wendy's International in operations. He is slowly and surely working his way up the corporate ladder of sucess.

I was an English major, and now in closing, I find it difficult to express my utter graditude, appreciation, and admiration for the O.S.U. Child Care Program and the Title XX program.

Title XX is a vital program, beneficial to both students and the taxpayers at large. A living example of this give and take relationship is the mother of one of my son's classmates. Mary Curtner was eligible for and used Title XX funds for approximately 3 years while she completed her degree in Computer Science Information. Considering that people in her area begin entry level jobs at $17,000 - $23,000 a year jobs, many will have paid in 5 years about 4 times the amount of money, that she used for child care, in state and federal taxes.

This program, and others like this, enable intelligent, poor parents to get the education they need to become productive, Tax paying solid citizens. The Title XX Program at O.S.U. also provides quality child care and a learning experience for children and work/study students. I am here today as a degreed person because of these programs. Title XX contributed to my education as much as the Pell grants did.

If not for the Title XX program, the doors that are barely cracked open to me as a college graduate would be slammed and locked. Title XX isn't a pacifier for dead beats, it is a shrewd investment in the future for adults, and children.

Again, I urge your support of S.B. 809 because of the dollars made available for day care for low income student parents.

Thank you for your sincere concern and attention to these important issues.

Senator **Stafford**. Thank you very much, Miss McGinnis. If I have any questions, I will submit them to you both in writing, if that is agreeable, for a response at your convenience, and I will defer to my colleagues who have legislation in this area, and may have some questions.

Senator Kennedy, do you have any, or any statement?

Senator **Kennedy**. Mr. Chairman, I would like to put my statement in the record. I want to express my appreciation to you for being willing to have this panel and give consideration to this particular proposal.

I think we have, really, two experts here. Listening to them, they make the case, I think, very effectively.

We, in the Congress, ought to recognize the changing demographics in our society, and the fact that there are more and more older people who are completing their education, women of childbearing years, interested in pursuing their careers and developing their skills so that they can be meaningful members of our society. It seems to me that we ought to recognize this development in a way that responds to some of their very important and special needs.

We know that there continues to be a growing number of single-parent families with chldren, and the fact is that general projections show that these numbers will be even greater in the future.

Single parents, in many instances, want to be able to continue with their education, to develop skills, and we recognize it. There is a very considerable need, as has been identified by our panel here today, a very significant need, and we have been able to document that child care programs have worked.

Child care has provided, I think, very important opportunities for people, and where it has not, too often individuals, get discouraged and begin to drain the system rather than being constructive and productive members of the society.

So I want to express my appreciation to both of you here today, and I too will submit some questions. I am very thankful for their testimony, and for your time and effort Mr. Chairman. Thank you.

[The prepared statement of Senator Kennedy follows:]

STATEMENT OF SENATOR EDWARD M. KENNEDY
HIGHER EDUCATION ACT HEARINGS
CAMPUS-BASED CHILD CARE

I WOULD LIKE TO WELCOME DR. ALGER AND MS. McGINNIS AND I THANK YOU BOTH FOR TAKING THE TIME TO COME BEFORE US TODAY. I AM GLAD THAT THE COMMITTEE HAS AN OPPORTUNITY TODAY TO TALK ABOUT THE CRITICAL NEED FOR FEDERAL SUPPORT FOR DEVELOPING CAMPUS-BASED CHILD CARE SERVICES. I THANK SENATOR STAFFORD AND SENATOR PELL FOR THIS OPPORTUNITY.

THE OVERWHELMING NEED FOR AFFORDABLE, QUALITY CHILD CARE IN THIS COUNTRY HAS, FOR THE MOST PART, BEEN IGNORED BY THE FEDERAL GOVERNMENT. BUT THE CHANGING DEMOGRAPHICS OF OUR SOCIETY AND OUR CHANGING FAMILY STRUCTURES DEMAND THAT WE TAKE A NEW LOOK AT THE CONDITION OF CHILD CARE IN THE UNITED STATES. NO LONGER DOES ONE PARENT WORK AND THE OTHER STAY AT HOME TO RAISE THE CHILDREN. TODAY, "TWO-PARENT FAMILY" OFTEN MEANS "TWO-JOB FAMILY". TODAY, FAMILY OFTEN MEANS A SINGLE PARENT AND CHILDREN. MOST OFTEN THIS MEANS A MOTHER AND HER CHILDREN.

MOTHERS ARE ESSENTIAL FAMILY INCOME PROVIDERS IN A TWO-WAGE FAMILY. SINGLE MOTHERS, WHO HEAD THEIR HOUSEHOLD, WORK TO SUPPORT THEMSELVES AND THEIR CHILDREN. TODAY ONE IN FIVE CHILDREN IS GROWING UP IN A ONE-PARENT FAMILY AND THESE SINGLE PARENTS NEED AFFORDABLE QUALITY CHILD CARE TO CONTINUE TO SUPPORT THEIR FAMILIES AND IMPROVE THEIR QUALITY OF LIFE.

IN 1982, THE AVERAGE SINGLE MOTHER WITH CHILDREN EARNED LESS THAN $9,000. I THINK EVERYONE HERE WOULD AGREE THAT $9,000 DOES NOT BUY A GOOD QUALITY OF LIFE FOR A FAMILY TODAY. IN ORDER TO INCREASE THEIR EARNINGS ABILITY AND BECAUSE A COLLEGE DEGREE HAS BECOME A MINIMUM REQUIREMENT FOR MOST JOBS TODAY, MANY WOMEN ENROLL IN HIGHER EDUCATION INSTITUTIONS.

CENSUS BUREAU NUMBERS SHOW US THAT THE ATTENDANCE RATE FOR WOMEN, 22 TO 34 YEARS OF AGE, TYPICALLY CHILD BEARING AGE, ROSE FROM 5.8% TO 8.9% OVER TEN YEARS WHICH MEANS THAT AN ADDITIONAL 1.2 MILLION WOMEN IN THIS AGE CATEGORY WENT BACK TO SCHOOL.

MANY OF THESE WOMEN ARE MOTHERS WHO NEED AFFORDABLE CHILD CARE FOR THEIR CHILDREN IN ORDER TO COMPLETE A COLLEGE DEGREE. MANY TIMES STUDENTS END UP DROPPING OUT OR NOT EVEN REGISTERING BECAUSE OF LACK OF AFFORDABLE CHILD CARE PROGRAMS.

ALONG WITH A MOTHER'S INABILITY TO FINISH A COLLEGE DEGREE AND INCREASE HER EARNINGS, LACK OF AFFORDABLE, QUALITY CHILD CARE HAS SERIOUS DETERIMENTAL EFFECTS ON OUR CHILDREN.

WE HAVE STATISTICS THAT TELL US OF THE CONSEQUENCES OF LEAVING CHILDREN ON THEIR OWN:

- INCREASES IN THE NUMBER OF ACCIDENTS RESULTING IN DEATH,
- INCREASED EXPERIENCES OF FEAR AND LONELINESS
- INCREASED LIKELIHOOD OF EXPERIENCING POOR NUTRITION
- AND, INCREASED EXPOSURE TO ALCOHOL AND DRUGS AT AN EARLY AGE.

I AM SURE THAT OUR TWO WITNESSES CAN ADDRESS THE CRITICAL NEED FOR CAMPUS CHILD CARE MORE ELOQUENTLY THAN I AND I AM ANXIOUS TO HEAR THEIR TESTIMONY. HOWEVER, I WOULD LIKE TO MENTION TO

THE COMMITTEE THAT I HAVE INTRODUCED THE COLLEGE-BASED CHILD CARE FOR STUDENTS ACT WHICH PROVIDES FUNDS FOR DEMONSTRATION PROGRAMS TO INCREASE THE AVAILABILITY OF CAMPUS CHILD CARE SO THAT WOMEN AND MEN ALIKE WHO HAVE CHILDREN CAN COMPLETE THEIR COLLEGE EDUCATION BECAUSE THEIR CHILDREN ARE ABLE TO ATTEND THE CAMPUS CHILD CARE CENTER.

CONGRESSWOMAN SALA BURTON HAS INTRODUCED A COMPARABLE BILL IN THE HOUSE AND I UNDERSTAND THAT TWO OF THE THREE PROVISIONS CONTAINED IN OUR BILL HAS BEEN INCLUDED IN THE HOUSE DRAFT OF THE HIGHER EDUCATION REAUTHORIZATION BILL. IT IS MY HOPE THAT SENATORS STAFFORD AND PELL AND THE OTHER MEMBERS OF THE SUBCOMMITTEE WILL GIVE SERIOUS CONSIDERATION TO INCLUDING THESE SAME PROVISIONS IN THE SENATE HIGHER EDUCATION REAUTHORIZATION.

Senator **Stafford**. Thank you very much, Senator Kennedy. Miss McGinnis, with a perfectly straight face, I will ask you: Has your husband ever discovered any beef at Wendy's?

Ms. **McGinnis**. Please. Of course.

Senator **Stafford**. You do not need to answer that. Senator Simon.

Senator **Simon**. Thank you. First of all, Dr. Alger, if I can just read one sentence of your statement in the record because it underscores what Senator Kennedy has just said:

> The Children's Defense Fund reports that there was an 83 percent increase in the number of women enrolled in college between 1970 and 1982, a 249 percent increase in women students between ages 25 to 29, and a 314 percent increase in women students between age 30 and 34.

Those are astounding statistics, and certainly underscore the need to do something.

At your school are you using college work study at all to provide child care assistance?

Dr. **Alger**. One of the problems we have now is that some of the sources for support have been cut. Title XX funds have been cut, for instance, and work study funds have been cut.

And so we do have work study students on the campus, but we do not have any work study students available for the child care center. These amendments would help to provide that.

Senator **Simon**. Well, what if we took Senator Kennedy's bill, and in addition to enacting it—and my concern is we may authorize something and then there are going to be no appropriations—what if we said that 3 percent, 5 percent of the college work study funds on a campus have to be used in the child care area?

Is that workable thing, or is that not a workable thing?

Dr. **Alger**. I always hate to be in competition with my colleagues on campus and I am not fully knowledgeable about the needs in other areas, but certainly, it would benefit child care a great deal to have more workers, work study students, and it would also benefit early childhood majors, if they could be work study students and receive more experience while they were going through school.

Sometimes they have to take jobs that are not at all related to their career goals. I think I might comment about our concern for financing these programs.

I am a taxpayer and I am very concerned about the Federal deficit. I am also a grandmother and I am very concerned about the legacy that we are leaving to my grandchildren because of the Federal deficit.

I do feel, however, that the two programs that we are talking about—access to higher education and taking good care of children—are cost-effective programs.

In other words, we have every reason to believe that over the long run, those will not cost us money; they will save us money.

Senator **Simon**. I could not agree with you more, and the question is really not whether we want to move on the deficit. We have to.

The question is, What kind of priorities we are going to have as we move on the deficit?

Dr. **Alger**. That is why I think sometimes there are more effective ways of spending Federal money than others, and this happens to be an area, as demonstrated in Headstart, that has been very effective.

Senator **Simon**. Thank you very much. Thank you, Mr. Chairman.

Senator **Stafford**. Thank you, Senator Simon. I observed when Senator Bumpers was here, but the rest of my colleagues were not, that my own very deep concern for education and its possible exposure to drastic cuts under the Gramm-Rudman amendment yesterday, was deep enough for me to have to vote against it, and I fear that we may be tilting at windmills if we try to add money, under present circumstances, to education programs as the situation has developed.

I hate to think that is true, but it appears to me to be very true. Senator Dodd.

Senator **Dodd**. Thank you very much, Mr. Chairman. First of all, thank you, Mr. Chairman, and Senator Kennedy. I think this bill is excellent and certainly deserves to be a part of the Higher Education Reauthorization Act.

In fact, I held some hearings in Connecticut, on child care in industry and business, and we had some excellent examples, IBM in particular, of major corporations that have incorporated child care programs at their facilities. The IBM program has been tremendously successful, not only in terms of efficiency, but they are already demonstrating increased productivity, higher retention rates, and a whole score of improvements in worker-employer management relations.

Just in terms of the productivity of people, we talk about it in the workplace, but I presume productivity of a parent who knows that their child is being well taken care of, in terms of scholastic performance, is also important. Unfortunately, one of the things that we do around here, since the chairman has mentioned Gramm-Rudman, is to conveniently divide our budget up into two categories, social and defense spending.

And people have a tendency to think that everything we do around here falls very neatly into one of those two columns.

The fact of the matter is, and I happen to believe this very strongly, education issues in particular most properly belong in the defense column, the national security column. The number of nations that have failed to understand that, historically, are abundant.

In this particular case, if we start looking at what the Japanese and the Soviets are doing in terms of higher education, and what we are not doing at the same time, there should be serious concerns among those who place national security issues high on the national agenda.

I wonder if you might just comment on what the experience has been, if there has been any, that there is an increase in academic performance on the part of parents at institutions where there are child care facilities?

Dr. **Alger**. I think Kerry has mentioned that her academic performance improved dramatically.

Senator **Dodd**. I wonder if there are some national statistics that might——

Ms. **McGinnis**. Well, I can't speak for that, but hey, it went up. I got readmitted, and I had child care, and I did not get a grade below a B minus since I went back to school.

Dr. **Alger**. I do not know that we have had any formal studies, but certainly all of us—and I work with campus child care people across the country—certainly the impression of all of us is that it does make a dramatic difference in parents' ability to pursue schooling successfully and that where there has not been child care, there has been a continual drain on energy and resources, and often it has meant that people dropped out of school or did not do very well academically.

So those are informal impressions. Your mentioning this in connection with the defense reminds me: A number of years ago I happened to be a civilian on a military base and there was a child care center. In order to get adequate support for that child care center, we got some studies from the Defense Department that showed that children's preschool experiences made a difference in whether they made successful recruits for the Army, so you might be able to find those studies.

I would have to look back through my files to see if I could locate them but I remember that they were very persuasive at that time.

Senator **Dodd**. My staff was going to the Library of Congress the other day, going back and doing some historical research on child care, when they came across a whole series of wonderful photographs taken in my home State of Connecticut in 1941, 1942, and 1943, of absolutely remarkable day care centers.

Husbands were off in the European or Pacific theater. Wives were working in war production facilities, and there were incredible day care facilities, child care facilities, with nurses, on-site physicians, and highly monitored nutritional programs. This was done 40 years ago, when we related it to our national security.

No one questioned the wisdom of having child care when we were under direct attack. We are under direct attack today in many other ways, frankly, not in the same context that we were 40-odd years ago, but certainly no less threatening. And yet today, we find the very people who were strongly advocating child care, in those circumstances, suggesting that this is really not an essential or a necessity, in terms of the same kinds of problems we face today. I probably should, Mr. Chairman, make those photographs available to the committee to see, and the news stories in the Connecticut newspapers, because they really were remarkable and quite successful.

I thank you, Mr. Chairman.

Senator **Stafford**. Thank you, Senator Dodd. I thank you both very much for the trouble and time you have taken to come and help us.

We are close to second bell on a rollcall vote I will say to my colleages, and we have one witness to go, but I think I will recess the committee until I can get back here, which may take 10 minutes.

[Vote recess was taken.]

Senator STAFFORD. The committee will please come to order and we will resume the hearing on the Reauthorization of the Higher Education Act.

Dr. Edgerton, you are a member of the advisory council to the Carnegie Foundation, and, let me extend the committee's welcome to you, and apologize for the interruption for a rollcall vote. We are liable to have another shortly, and several more this afternoon, but in the meantime, you have 5 minutes.

STATEMENT OF DR. RUSSELL EDGERTON, MEMBER, ADVISORY COUNCIL TO THE CARNEGIE FOUNDATION, WASHINGTON, DC

Dr. EDGERTON. Thank you very much, Senator Stafford.

I am Russell Edgerton and I am the president of the American Association for Higher Education.

I am appearing to you today, however, in my capacity as a member of the advisory panel, to a new study which the Carnegie Foundation for higher education released last month, entitled "Higher Education and the American Resurgence," released by the Carnegie Foundation for the advancement of teaching.

I am joined this morning by Dennis Stout who is a research assistant at the Carnegie Foundation and is here to keep me out of trouble in the question period.

I must say, Senator Stafford, that I spent one incarnation of my life working for the Secretary of HEW and was importantly involved in the creation of FIPSE, and I wanted to start off this morning by saying that I deeply appreciate your own personal interest in keeping FIPSE on track, and a vital organization.

Senator STAFFORD. Thank you.

Dr. EDGERTON. The report which I am representing was authorized by Frank Newman, who spent a fellowship year at the Carnegie Foundation, and is now the president of the Education Commission of the States.

I do regret that Frank is not here with us because his enthusiasm for his own ideas is contagious. He is a wonderful spokesman for them, and I hope, on an informal basis, that he might connect with you, sir, and other members of the committee.

Let me be brief. The first question the report addresses is what should we expect of higher education? And our answer is that in a world transformed, do we have to expect different things than we have in the past?

We look first at the economic challenge which you have been dealing with for many years, and I think our distinctive message in this report about that now very familiar issue, is that the Nation's attention has been too narrowly focused on shortages of technical expertise.

We feel that the limiting factor in our economic resurgence is not the need for expertise, although that is important, but rather, the need for creative and enterprising managers, and flexible workers, who can help find—you know—really help our Nation come to a new way of earning its national living.

What this means for college and university education is that we must not only focus on the narrow areas of specialties—computer science and the rest—but we must look at our universities as places to educate for creativity and risk-taking.

And Frank has some stern words in this report about the present system of teaching and learning, and what could be done to move from a passive mode to more active modes of learning.

We then move in the report to the more allusive, but we think even more fundamental challenge of citizenship, and our concern with these developments has led us to focus on the attitudes which undergraduates and graduate students develop in the course of their educational experience.

You heard this morning the testimony from the humanities side of things, and certainly, humanities courses are a part of the kind of immersion that we would hope our students could have more of.

But we think our higher education system is especially weak in the opportunities provided for character formation activities, and we remind the committee that students pick up attitudes, not only from professors and their classes, but from the surroundings to the campus, and from the opportunities of direct engagement and experience such as through voluntary service, through study of broad programs, and the like. And we call for a major effort on the part of college and university presidents to expand these activities.

I have in that regard a statement which 100 college and university presidents have already signed on to, and which will be released next week in a press conference, to call for a new and vigorous effort for voluntary service, and that is an expanding kind of commitment, and again, Frank Newman is the ringleader of the coalition of college and university presidents to put that agenda more on the map on a voluntary basis.

Let me turn quickly to the recommendations in the report that relate to your committee's concerns. The report touches a number of different bases, but let me focus, in the interest of time, on the recommendations about student aid which are relevant to title IV and your authorization bill.

We feel that what is needed is especially a perspective about student aid, and we urge you to regard student aid not as a means, simply, of financing students' access to college, but also a means of educating them.

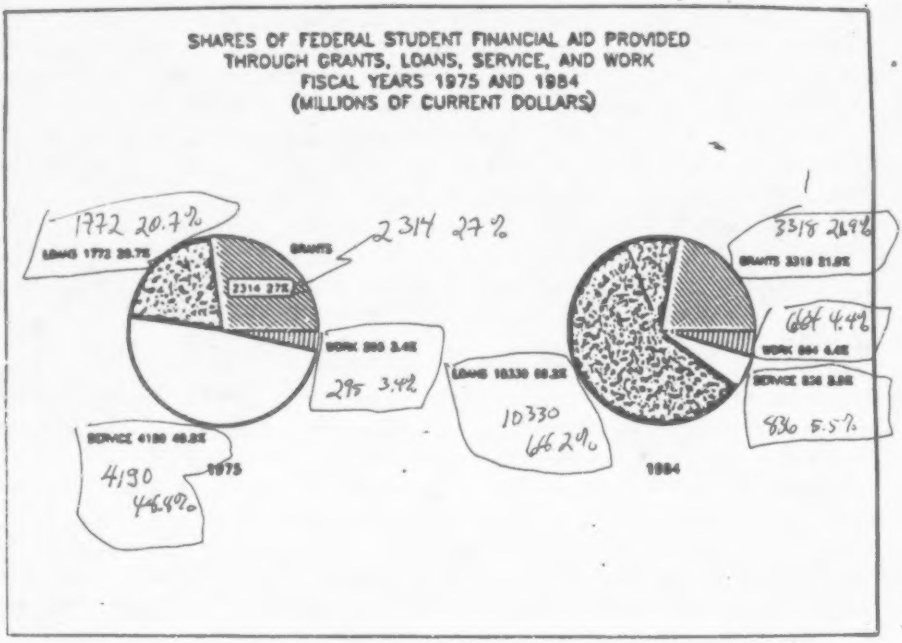
In other words, in student aid, the "medium is the message," or the "medium is a message." The form in which student aid is provided, in other words, has important educational consequences, and I would like to submit for the record a pie chart developed in this report, which I think is stunning, and the pie chart looks, simply describes in the total student aid pie, what part goes to work, what part goes to grants, what part goes to loans, and what part goes to service-based aid.

Senator STAFFORD. Without objection we will make it part of the record.

[The document referred to follows:]

AMERYOUTH, 7/18/85, mjb

Chart 7.



SHARES OF FEDERAL STUDENT FINANCIAL AID PROVIDED THROUGH GRANTS, LOANS, SERVICE, AND WORK FISCAL YEARS 1975 AND 1984 (MILLIONS OF CURRENT DOLLARS)

SOURCE: Adapted from Gillespie and Carlson. Trends in Student Aid, Table A-1, 30.

Dr. **Edgerton**. Thank you very much. In 1975, service-based aid took up 49 percent of the student aid pie, largely, of course because of the GI bill. Grants, 27 percent; loans, 21 percent; work, 3 percent.

In 1984, service-based aid was down to 6 percent; grants down to 21 percent; loans up to 68 percent; work, 5 percent.

So there has been an enormous shift in the form in which students receive aid to go to college. And this is an issue which the committee could address, whatever the overall budget levels are.

I know there is great concern about the size of the deficit, and so on, but this is the allocation within the pie, with a new sensitivity to the educational consequences of the way that aid is allocated.

Senator **Stafford**. Can you summarize now, in about a minute?

Dr. **Edgerton**. Yes, the proposal that we particularly commend to your attention has three parts. We see the Pell grants as the indispensable base of underpinning of student aid and hope that that would be expanded.

The question is, What goes on top of this foundation? The present answer is, a rapid increase in loans, and, we feel that that is bad social policy, and there are lots of arguments in the report that try to detail that concern. When loans become excessive, the message is, sort of, go now, pay later, and particularly, go into a career which is financially rewarding.

The alternative answer is to look more favorably upon the expansion of work study and to develop new models of student aid which are based on concepts of service.

The message here is, serve your country, and in return you will get a leg up and an early start on your career.

We are especially attracted to two ideas, both based on military analogies. One is the ROTC model, and we think that that model could be applied and expanded to new areas of critical national need, such as the teacher shortage.

And second, the GI bill model. And we feel that the GI bill model provides a formula which would work in community service activities and we propose the committee give serious consideration to what we call a GI bill for community service.

There is more in my prepared testimony about both notions. There is much more in the report itself, but let me leave the summary there. I do want to say that I myself was not personally involved in the development of the mechanics of these particular proposals. I cannot argue their merits as gracefully as Frank can, or perhaps as Dennis Stout, who is his research assistant. I feel a little bit like the drunk who came home late one night and was trying to sneak in the door without his wife seeing him.

And he got out his key and he fumbled to the door, and he reached out and put the key in the lock, and just at that time his wife opened the door, and he went down on the floor, and he turned around and he looked up and he said: "Well, I think it's time to dispense with my prepared remarks and take questions from the floor."

Thank you very much.

[The prepared statement of Dr. Edgerton and additional material supplied follow:]

Testimony

Last month, the CFAT released a report titled "Higher Education and the American Resurgence". A number of the themes --especially the call to base student aid on concepts of service --have captured the attention of the media, and are relevant to your reauthorization of the higher education bill. I'm here this morning to elaborate these ideas.

Report was authored by FN, who held a fellowship at the Foundation before assuming his current post as President of the Education Commission of the States. I served on an advisory panel for the project. When Frank learned that he was unable to meet this commitment, he leaned on me to represent him. I in turn leaned on Dennis Stout, one of Frank's research assistants, to join me and keep me out of trouble.

I do regret Frank isn't here, for his own enthusiasm for the ideas in the report is contagious. I hope you will have a chance to discuss the report with him on an informal basis.

....

The first question the report addresses is, what should be expect from higher education? The question is obviously critical, for our colleges and universities can be judged to be in great shape, not-so-great shape, or lousy shape depending on what we expect them to achieve. Our answer is that we must expect more from higher education because the world has transformed.

We start with the economic challenge. Ever since Japan came into focus as our new Sputnik, every state --as you well know --has come to a new appreciation of the role education can play in economic development.

The distinctive message in our report is that the nations attention has been too narrowly focussed on the shortages of technical expertize --scientists and engineeers. This is an important area of need. But the crucial limiting factor in our economic resurgence is not expertize, but the need for creative, enterprising managers and a workforce willing to seize the initiative and change.

What this means for college/university education is that we not only need to keep pace with engineering, computer science, and other new specialities, but educate for creativity and risk-taking throughout the college and university. In this regard, Frank has some stern words in the report about the fact that colleges and universities have institionalized a method of teaching that is essentially passive. He calls for more active learning.

We then move in the report from the economic challenge to the more elusive challenge of educating for citizenship.
As the research proceeded, we came to see this as the most urgent and serious challenge of all.

We are -increasingly --an engineered society. The pills, bombs, power plants, toxic wastes, and other products of our scientific and technological imagination have radically altered our environment and require a new kind of literacy of our citizens.

We -increasingly --find ourselves in an ever thickening web of interdependent relationships with countries around the globe.

Our own population is rapidly aging, & increasingly diverse along ethnic, racial, cultural lines. Feeling at home in America requires new levels of tolerance and appreciation for diversity.

In the midst of all this, the glue of shared values that holds us all together seems to be weakening. As citizens, we are more aware of our rights than our obligations.

Concern with these developments led us to focus on what attitudes students were developing in the course of their undergraduate experience. We think our higher education system is especially weak with respect for opportunities for character formation. Students pick up attitudes, not only from professors in courses, but also from the "surround" of the whole campus, and especially from direct experiences such as working, volunter service, and study abroad.
We call for a major new effort to expand these opportunities.

....

Let me quickly turn to our recommendations for federal action. They cover a broad canvas. Frank's feeling, I believe, was that the debate here in the capitol has tended to turn around an Administration attack on higher education programs, and a defensive interest group effort to keep everything now on the books in place. It should be the role of third parties, like the Carnegie Foundation, to introduce ideas baseon the new needs of a changing world.

The report makes recommendations pertaining to research priorities, the balance between university research and research conduted in government laboratories, equipment, and research libraries. The report calls for various ways to expand international exchange programs, and for a new larger-than life version of FIPSE to address the vexing issues of minority education. But let me turn to a core concern of this committee, and also in some ways the heart of the report -- the recommendations for student aid.

We urge a new perspective about student aid, and propose a three-part program.

As to the perspective, we urge that you regard student aid, not only as a means of financing students to meet college costs, but also as a means of educating them. The medieum contains a message. The form in which student aid is provided has important consequences for how students think of themselves, their attitudes toward work, their country, and their future careers.

Now to the three part proposal.

We see the Pell grant program as the essential underpinning for the whole student aid system and we believe it should be expanded. The question is, what goes on top of this foundation?

The present answer, increasingly, is loans. The Guaranteed student loan program is accellerating rapidly. Students in professional schools have become especially dependent.(Nearly 1/3 of the 1984 graduates from medical school graduated with over $30,000 in debts to pay). We believe that such debt burdens are bad social policy. When loans become exccessive, the message is: Go Now, Pay Later.. and pursue a financially rewarding career.

The alternative answer, the one we favor, is to expand work study, and to develop new models of student aid based on concepts of service. The message of service based aid is: servie your country, and your country will help you get a good start. This is a very different social message.

We are especially attracted to two ideas, both based on models pioneered by the military.

The first model is ROTC. The characteristics of the ROTC model that attract us are as follows. First, it is selective. The program can let in certain kind of students who are needed for certain tasks. Second, the student begins service immediately, not at some indefinite point in the future. Third, there is a close coupling of academic coursework and direct experience. Fourth, the model is flexible --students can pursue a variety of majors, and engage themselves for a variety of types of service obligation after college.

ROTC strikes us as an excellent model for the teaching profession, and we propose a new program for Public Service Teaching Fellows. Such as program would meet critical needs for teachers while at the same time help students develop attitudes of giving something of their les to their country.

The second model is the GI bill....often considered the most effective student aid program we have ever had. We propose using the basic features of the GI bill for a new program --a GI bill for community service. The program would encourage young men and women between 18 and 25 to devote one or two years to a public service undertaking. A federal agency would certify a range of eligible public service tasks. In return for service, students would accrue benefits that could be applied to college tuition.

Questions can --and should be raised --about these programs. There may well be better ideas. Our basic point is that service is a form of merit, and the ideal of service is something we urgently need to restore.

Let me stop here and take your questions. I should warn you that as an advisory panel member, I did not work out the mechanics of the proposals. I cannot argue their merits nearly as effectively as can Frank Newman. Indeed, I feel a bit like the drunk who came home well after midnight and leaned toward the door, key in hand. His wife unexpectedly opened the door and he fell inside on the floor. After a moment he looked up and said, " I think I will dispense with my prepared remarks and simply take questions from the floor".

BACKGROUND INFORMATION ON THE PROJECT FOR PUBLIC AND COMMUNITY SERVICE

In the face of growing complexity and danger in the problems facing American society, there are clear signs that self-interest is undermining public interest. There is today a dangerous mismatch between the country's urgent need for civic mindedness and the parochial attitudes of its citizens. The intense demand for economic, social, and political renewal requires a far greater sense of public purpose. Higher education has a long history of developing this sense of public purpose and preparing youth for responsible citizenship. Recognizing this tradition, a coalition of college and university presidents has authorized the establishment of the Project for Public and Community Service, a national action-oriented effort to increase student public service by centralizing and increasing access to community service information, heightening awareness of public service and reducing the disincentives which now discourage students from service work.

THE IMPERATIVE

The United States faces extraordinarily complex issues that demand of society a greater capacity for civic integration than ever before. Many of the most pressing issues, such as peace in the face of the proliferation of nuclear arms, effective integration of the growing minority populations, and economic stability without stagnation, inflation, or poverty are of a long-term nature and include an international dimension. These issues demand leaders with a broad understanding of the interdependencies of people and nations, and a strong commitment to what John Gardner calls the democratic compact: "Freedom and responsiblity, liberty and duty, that's the deal." Yet, youth, our future leaders, are becoming increasingly isolated and their vision increasingly narrow as their purpose in life has become the fulfillment of self-centered materialism and personal career aspirations.

According to the annual ACE-UCLA surveys of incoming freshmen, students' value of money, status, and power has increased for the last decade, while the importance of altruism and social concern has decreased in this time. The values showing the greatest increase since 1972 were being very well-off financially, being an authority, having administrative responsibility for others, and obtaining recognition. The values which showed the largest decline in importance since 1972 were helping others, promoting racial understanding, cleaning up the environment, participation in community action programs, and keeping up with political affairs. Of great significance to the issue of youth service is the item showing the strongest upward trend: the hope of "being very well-off financially" jumped from 40% to 70% in the past ten years and reached an all-time high in 1983 (69.3%). Also of significance is the value which showed the greatest decline: the goal of "developing a meaningful philosophy of life" declined from 82% in 1967 to 44.1% in 1983. (Cooperative Institutional Research Program. The American Freshman: National Norms, Fall 1974-1984).

This evidence of the change in youth attitudes away from social concerns exposes the crisis underlying the economic, social, and political issues facing America. This country must train leadership that can work together to find solutions to these problems. The shift in student attitudes is in part a reflection of the failure of colleges and universities to educate students with a proper respect for the responsibilities placed on them in a democratic society. As Morris Janowitz points out in the Reconstruction of Patriotism, "Today, people know a great deal about their civil rights. Do they know as much about their civic responsibilities?"

America's colleges and universities have traditionally instilled future leaders with values that emphasize working in the service of society. Institutions of higher education also have a tradition of responding to the most pressing needs of our nation. Whether in the training of the colonies' first clergy or in the promotion of more productive agriculture in the 19th century or more recently in the education of future teachers or in the support of health research, higher education has a history of serving the needs beyond the individual aspirations of student or faculty. Today with the expansion of community colleges and state college systems, the benefits of higher education are reaching more people and a more diverse group of students than ever before. As a result, the need for colleges and universities to educate students with an appropriate respect for civic consciousness is especially imperative.

Institutions of higher education must not only address the issue of civic responsiblity through its curriculum, but must develop programs that allow students actual experience in the community or public sector. Through these opportunities, not only will some of society's ills be addressed, but the experience benefits the volunteer by providing the opportunity to become involved with others from different races, ages, and classes. Public and community service can do more than any academic seminar to counter provincialism and imbue a sense of responsiblity to others.

THE DISINCENTIVES OF SERVICE WITHIN HIGHER EDUCATION

Currently, too many disincentives in higher education discourage young people from public service. Financial disincentives are among the most formidable. Knowing that higher education will only get more expensive the next year, many students feel compelled to finish their degree programs in as short a time as possible rather than serve others in an inner city, on an Indian reservation or in an Appalachian hamlet. Similarly, the debt incurred by many students during their four years at college almost dictates that they seek well-paid employment after graduation.

Finally, public service suffers from a lack of information and a lack of status. Few students are aware of service opportunities in their own communities. Most universities do not have co-curricular service organizations on campus, and few institutions do enough to encourage public service careers. Career placement offices provide abundant opportunities for large corporations to recruit on campus, but do not do enough to encourage service careers. In so doing, universities send a message, mostly unintended, of what careers are considered worthwhile for holders of bachelors degrees.

Amidst the reported disarray of youth public service, there are signs of hope that this situation could change. When several college and university presidents met on April 23, 1985 to discuss the issue of youth civic involvement, they agreed unanimously about the growing interest on campusses in public service. Such broad support for community service at a wide variety of institutions demonstrates that students are willing and anxious to connect with issues and concerns beyond their personal ones. Capitalizing on this growing interest, higher education can act now to encourage students to become more involved with the world beyond the institution's walls.

EXAMPLES OF RENEWED ENTHUSIASM

During the last academic year, a number of colleges and universities have reported a renewed interest on the part of many students in community service. Those that have given new visibility to internhsip programs or other service opportunities have seen a surge in applications. Even the increased scope of student protests can be seen as a turn away from self-interest. Here, then, is a window of opportunity when the awakening concern of students can be matched with the need to restore education for citizenship to its primary role.

The level of involvement at several universities with established public service programs represents the fact that students will respond when confronted with the specific outlet to do so. For example:

o Stanford established a Public Service Center which includes a volunteer clearinghouse, an internship program, a summer and post-graduate fellowship program, a Public Policy Forum, public service career advising, and an annual conference on public service. There are many quantitative indicators which demonstrate that student awareness of volunteerism and public service has been turned around by these efforts. The rate of volunteering at Stanford for the Peace Corps and Volunteers in Asia has almost tripled over the past two years. The student Volunteer Network has turned out over 500 Stanford students to work on various community projects on "reach out" Saturdays during Fall and Spring quarters. The Stanford-in-Goverenment program, a student-run organization, is more popular and better organized than ever before, and 72 students applied for the 14 available summer fellowships.

o At Susquehanna University, with a student body of 1800, 225 live in "project houses" each of which concerns itself with a different aspect of community life such as adopting a nursing home or serving as Big Brothers/Big Sisters to troubled children.

o At Brown University, through the campus student volunteer program, Brown Community Outreach, approximately 600 students are involved in 37 projects in the Providence community. Also, twelve students were awarded Starr Fellowships this year--$1000-$1500 awards given to students who delay entry to college or take time off to perform service.

o At Vanderbilt University students at the Center for Health Sciences have done the following: 45,000 health examinations for residents in rural or low income communities; assisted in the formation of more than 15 primary health care centers; helped to establish markets for small farmers in cities throughout the Southeast; established a laboratory which conducts preliminary analysis on more than 1000 water and soil samples annually for community groups.

o At Harvard the number of students doing volunteer work at Phillip Brooks House, a volunteer program on-campus, has jumped from between 200 and 300 students five years ago to more than 1000 students last year. In the class of 1983, 34.9 percent gave some time to public service, while in the class of 1984 the comparable figure was 48 percent. These increases in student volunteering could be attributed to increased efforts on the part of the university to promote such opportunities. Also, the Lamont Public Service Fellowships provided stipends of up to $1000 to enable students to do summer volunteer work--42 applied for 10 awards.

o At University of Michigan, Ann Arbor the Public Service Intern Program, places students in government and government-related organizations. Each summer PSIP places approximately 75 students in Washington, D.C.

ACTION TO FOSTER PUBLIC SERVICE

The Project for Public and Community Service has been established at Brown University, under the administrative oversight of ECS, to help revive higher education's commitment to training its students for responsible citizenship. The Project is a result of an April 1985 meeting of college and university presidents who met to discuss efforts they could take to foster greater youth involvement in public and community service, and who unanimously agreed something must be done to address this issue.

The Project is sponsored by a coalition of institutions of higher education. PPCS is committed to creating a coalition with geographic and institutional diversity, including private and public, four year and two year institutions. Public service is not merely make-work for "at risk" youth or a "noblesse oblige" duty of ivy league students. It is a responsiblity of all, and the coalition's membership will reflect that.

PPCS intends to take the following actions to foster public service:

- o establish a public service network that will match students seeking service opportunities with local and regional service
- o assist in the establishment of on-campus public service centers across the nation
- o consolidate and improve access to public service information
- o sponsor regional meetings with legislators and business people
- o develop creative proposals for federal assistance
- o coordinate a media campaign

To strengthen on-campus activities that promote public service, PPCS intends to provide assistance for building and expanding community service projects, by working with the Campus Outreach Opportunity League. PPCS will also research and propose ways to redress disincentives tha discourage students participation in community service. Such measures might include special considerations in admission and financial aid, improved public service career advising, financial compensation for students taking leaves of absence to make meaningful public service commitments, and greater involvement of faculty and academic advisors in public service to stand as effective role models. One of its forms of research will be to survey the colleges and universities within the coalition to identify policies and programs at these institutions which can be used as models for other universities. The survey results will also help to highlight the gaps in youth civic education and be a springboard from which to develop policies to address this issue.

Nationally, thousands of community action agencies exist. PPCS will work with these agencies to develop networks of regional organizations where information could be consolidated and be more readily available to students. PPCS will also work with state and municipal programs. The Project plans to organize a series of regional meetings with key legislators, businesspeople, higher education institutions and foundations. These meetings will create strong regional foundations for service work and facilitate an exchange of information between parties that might otherwise duplicate programs or not know how to hook up with other public service networks.

ECS intends to seek support from a coalition of the nation's governors. Governor Robb of Virginia and Governor Graham of Florida have agreed to take on the role of spokespersons for community service. The Project will also develop ties to the business community, especially with companies that alreasy support employee public service activities such a Levi-Strauss and Xerox.

The project will work for federal assistance for public service through student aid for service work. For instance, many students currently supported by College Work Study are sweeping library steps of washing cafeteria dishes. PPCS will work to get Work Study back to its original purpose: financial support for students doing work directly related to their academic programs or related to public service. Similarly, the project will endorse efforts for the reauthorization of the Guarenteed Student Loan Program with provisions for extended repayment schedules, renewable deferments and principal reductions for students choosing public service careers.

Finally, the Project will undertake a media campaign to raise the issue of youth service on the national agenda by increasing public awareness of the urgency for a rediscovered commitment to service and by stressing the workable solutions available to address thsi need. Such a public campaign will issue not only a challenge to students to get involved with the community but a reminder to colleges and universities to provide an education consonant with their institutional goals of service to society.

While the Project applauds all efforts to encourage public service, the following types of service will form the centerpoint of the project:

- o University-sponsored service projects
- o Service work in exchange for financial assistance from colleges
- o Work sponsored by a community service agency
- o Work sponsored by a for-profit organization where the goal is not only making a profit but meeting a community need, such as nursing homes or hospitals
- o Church sponsored service work where the goal is meeting secular needs not proselytizing new members.
- o Government sponsored service work, including VISTA and Peace Corps.
- o Independent service projects not sponsored by any agency.

PPCS appreciates the diversity in philosophies of service across American campuses. These guidelines serve only to define the centerpoint and boundaries of service for the Project for Public and Community service. By joining the coalition, colleges and universities do not give up there autonomy to define their own individual campus-based service programs. PPCS will not dictate its philosophy of service to any institution.

The PPCS will, however, dictate a charge to the nation's institutions of higher education to recommit themselves to equipping their students to be the committed, compassionate citizens upon which this nation depends. These institutions must provide the leadership, resources, and focus that will enable youth to envision a better world, an interdependent one but one in which they as individuals can make a positive contribution.

COALITION OF COLLEGE & UNIVERSITY PRESIDENTS FOR THE PROMOTION OF YOUTH CIVIC RESPONSIBILITY

STATE	INSTITUTION	PRESIDENT
California	Stanford	Donald Kennedy
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	Harvard University	Derek Bok
	M.I.T.	David Saxon
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	SUNY	Clifton R. Wharton
	Wells College	Patti McGill Peterson
Pennsylvania	Lafayette College	David W. Ellis
	Susquehanna University	Joel L. Cunningham
	University of Pennsylvania	Sheldon Hackney
Rhode Island	Brown University	Howard R. Swearer
South Carolina	Wofford College	Joab M. Lesesne
Tennessee	Vanderbilt University	Joseph Wyatt
Texas	Austin College	Harry Smith
Vermont	Bennington College	Michael Hooker
Washington	Evergreen State College	Joseph D. Olander
	Seattle University	Rev. William Sullivan
	University of Puget Sound	Philip Phibbs
	University of Washington	William P. Gerberding
Washington, D.C.	Georgetown University	Rev. Timothy Healy
Wisconsin	Alverno College	Sr. Joel Read

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October 9, 1985

Honorable Robert T. Stafford
Chairman
Senate Subcommittee on Education,
Arts and Humanities
U.S. Senate
Washington, D.C. 20510

Dear Senator Stafford and Committee Members:

I regret indeed not being able to testify before you. I appreciate the opportunity such an invitation represents.

Dr. Russell Edgerton, who will be testifying October 10, served as a member of the Advisory Panel to the Carnegie Foundation Report on Higher Education and the American Resurgence. Dr. Dennis Stout, who will be accompanying Dr. Edgerton, was responsible for the research on the student assistance questions our report addressed. Their advice was invaluable to me.

I wanted to bring to your attention draft Chapter 6, American Youth and the Ideal of Service of this report. Drs. Edgerton and Stout will be focusing the majority of their comments on the themes raised in this chapter.

Again, thank you for this invitation, and I would be happy to respond to any questions you or the Committee Members may have after the October 10 hearing.

Sincerely,

Frank Newman

Frank Newman
President

A Carnegie Foundation Special Report

HIGHER EDUCATION AND THE AMERICAN RESURGENCE

BY FRANK NEWMAN

The Carnegie Foundation for the Advancement of Teaching

* * * * * * * * * * * * * * *

DRAFT

Hold for P.M. Release
Monday, September 16, 1985

Notes and Bibliography Not Included

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AMERYOUTH, 7/25/85, mjb

CHAPTER VI

American Youth and the Ideal of Service

Federal student aid programs are often debated primarily in terms of how much aid should be made available to which classes of students. But the form of student aid is also important. By expanding the concept of student aid in return for service to the community, public policy can have an important effect on educational outcomes.

REORDERING PRIORITIES

In recent years, the primary goal of most student aid--particularly federal student aid--has been to increase the access to higher education for those of limited means. In the last few years, the access goal has been challenged by the argument that it should be replaced by the goal of merit (defined in terms of academic grades and test scores). Nearly three-fourths of the nation's 3,200 colleges and universities now offer some type of merit-based scholarship.[1] The need versus merit debate is the wrong debate. The real issue is how access can be supplemented by merit, defined in terms of service--the concept of aiding those students who serve society.

Access for those of limited means must remain the top priority. Measured by the share of each age cohort attending college, access has remained at a plateau for the last decade. Attendance rates for all 18- to 24-year-olds actually dropped slightly, from 35 percent to 33 percent, from 1969 to 1981.[2] For some minority groups, participation also has declined slightly over the last decade. (See Chapter VII.)

The use of merit, as measured by grades and test scores, to select students to receive aid suffers on two counts. It is counterproductive with regard to providing access to all independent of need because of the close correlation between socioeconomic status and test scores. Furthermore, grades and test scores, except in the broadest sense, bear little or no relationship to success outside of school.[3] Not only is the willingness to be of service (and a past record of active involvement) a better guide to success in life, it is more equitably distributed among all groups.

The whole concept of federal student aid was recently challenged by the argument that students should pay a larger share of their costs. This also is the wrong argument. Americans already pay a far larger share than is expected of students elsewhere. Two principles have served as the pillars of national policy for a long time: opportunity for access to anyone with motivation and ability, including the motivation to work for part of their costs; and higher education as an avenue for social mobility. Beyond that, preserving and broadening the opportunity for college is a central pillar of American social policy. This policy is based, not on sentiment or tradition, but on the fundamental convictions that equality of opportunity is essential if the social and economic and civic conditions of the nation are to be sustained and strengthened.

Perhaps the most important point is that the form of financial aid a student receives shapes the nature of the student's educational experience and personal development. Almost 75 percent of all college students receive some form of aid. The design of student aid programs should reflect the educational values society seeks. It is possible not only to provide access, and access that enhances student choice as to the type of institution, but to encourage through student aid the understanding that each citizen has an obligation to the society as a whole.

Because a variety of federal student aid programs have been in operation for several years, much can be learned about values that are developed by different approaches. Studies of the GI Bill, for example, indicate that grants provided to those who have completed military service encourage a student to improve academic performance upon entry or return to campus, encourage a greater sense of purpose when the student enters higher education, and clarify career objectives.[4]

Those programs that require students to work--the college work/study program or internship programs--on the whole tend to build character, encourage a sense of responsibility, encourage self-confidence, create a sense that the student is a useful member of society, expand a student's expectations about himself, increase the capacity for cooperation, and add to a student's knowledge of the world of jobs.[5] As of now, approximately 40 percent of all full-time college students work at some sort of job for an average of 20 hours a week. Surprisingly, the percentage is roughly the same for students in all family income categories up to about $50,000 a year.[6]

Grants, such as the Pell grants, provide essential underpinning for the whole student aid system, although they have a relatively neutral effect on grades and values. They clearly help equalize access, and in so doing make the other forms of student aid workable. Even when grants are of a relatively modest amount they encourage students to enroll and to persist.[7]

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Loans tend to bring about the highest rate of attrition of any form of student aid, and appear to have a significant effect on student career choices.[8] Unlike other forms of aid, they diminish the very sense of social contract proposed in this report.

While it is essential to preserve the current array of student aid programs,[9] the balance would be better if service and work were expanded. The current rate of growth in certain forms of student aid, has upset the traditional balance. Loans have been expanding most rapidly, grants the next most rapidly. Work/study has been level for a long time (though recently increased significantly), and the traditional GI Bill program is being eliminated.[10]

A BACKWARD GLANCE: THE EVOLUTION OF FEDERAL STUDENT FINANCIAL AID PROGRAMS

While there was a small number of federal fellowships before World War II, most notably the Public Health fellowships, major federal support of students began with the G.I. Bill. Although it was not intended to be the first of any series of programs to aid students, the G.I. Bill's success opened the door for further federal efforts. The first post-G.I. Bill programs sought to expand the number of the brightest students preparing to enter fields that served pressing national purposes, such as defense. The earliest examples were fellowships for doctoral students in the sciences. As the number of programs grew, new rationales for student assistance evolved--from supporting only the brightest, to supporting the brightest of limited means, to helping those least able to pay. Until recently, the largest share of federal support of students was in programs to provide equity of access for needy students.

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Table 6. Expenditures for Student Assistance, Selected Federal Programs, FY1973—1980 (Millions of Dollars)

Year	Pell	Veteran's Education	Social Security	CWS	GSL	NDSL	SEOG	Total	Total in 1972 Dollars
1973	—	2,016[a]	638[a]	270[b]	292[c]	286[d]	189[e]	3,691	3,502
1974	49[a]	2,309[a]	618[a]	270[b]	399[c]	286[d]	200[e]	4,131	3,685
1975[f]	342	4,180	1,093	420	580	321	201	7,137	5,788
1976[f]	1,326	4,301	1,233	390	808	332	284	8,674	6,576
1977[f]	1,529	2,598	1,370	390	357	311	284	6,839	4,857
1978[f]	2,160	2,316	1,450	435	480	326	334	7,501	4,990
1979[f]	2,431	1,784	1,587	550	958	329	417	8,056	4,927
1980[f]	1,718	1,714	1,883	550	1,609	301	447	8,222	4,630
1981[f]	2,604	1,351	1,996	550	2,535	201	370	9,607	4,926
1982[f]	2,419	1,356	733	528	3,074	193	355	8,658	4,126
1983[f]	2,419	1,056	220	590	3,100	193	355	7,933	3,643
1984[f]	2,800	836	35	555	2,255	181	375	7,037	3,077
1985[g]	3,575	800[h]	N/A	593	3,079	190	413	8,650	3,617

Legend: Pell was called Basic Educational Opportunity Grants (BEOG) before 1980.
CWS is the College Work-Study Program.
GSL is the Guaranteed Student Loan Program.
NDSL is the National Direct Student Loan Program.
SEOG is the Supplemental Educational Opportunity Grants Program.
This list does not include all Federal Programs of student financial assistance.

Source: [a] Chester Finn. Scholars, Dollars and Bureaucrats (Washington, D.C.: The Brookings Institution, 1978), Table 3-6, p. 68.
[b] United States Department of Education, Office of Student Financial Assistance. OSFA Program Book, Washington, D.C., July 1981, p. 73.
[c] OSFA, p. 37.
[d] OSFA, pp. 54-55.
[f] Donald A. Gillespie and Nancy Carlson. Trends in Student Aid: 1963 to 1983, (Washington, D.C.: The Washington Office of the College Board, December 1983), Table A-1, p. 30, and Table A-3, p. 34; and Trends in Student Aid: 1980 to 1984, Table 1, p. 5 and Table 3, p. 7.
[g] Education Week, November 7, 1984, p. 15. Figures are estimates.
[h] Figures supplied by Veteran's Administration.

Constant 1972 dollars calculated from Price Index Deflation Series obtained from National Science Foundation and applicable to federal obligations.

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STUDENT AID SINCE 1977

After the initial surge of the first (World War II) and then the second (Korean War) G.I. Bills, federal programs of student aid began a long growth during the 1960s and early 1970s. Since 1977, both the level and form of federal student aid has changed dramatically. As Chart 6 shows, in current dollar terms student aid continued to rise during the Carter years, then began to decline. In constant dollars, student aid dropped after 1976, rising only slightly until 1979 when the Middle Income Student Assistance Act went into effect. Although the level of funding in 1984 is about the same as the level of funding in 1979 in current dollars, in real terms (constant dollars) student aid is back to where it was in 1973.

One major cause of the sharp drop during the 1980s has been the decision to eliminate two large programs that often go unnoticed because they are administered outside the Department of Education--the G.I. Bill and the educational benefits for dependents under the Social Security program. Between them they represented $3.6 billion in 1980. By 1989, they will have been completely eliminated.[11] Despite the fact that they were often overlooked by educators, these programs have represented real dollars in the pockets of students and an approach to student aid quite different from the more visible programs.

THE GROWING ROLE OF LOANS

Another critical change is the shift in the importance of loans. The figures in Table 6 represent only the current cost to the federal government of the loans under the Guaranteed Student Loan Program (GSLP). If one looks at the role that the loans play, as a share of all student aid, a massive shift becomes evident. Chart 7 shows all federal student aid loans in the amount lent to the student, not the cost to the government. In the late 1970s loans became the dominant form of student aid.

For the last three years, as student aid has fallen and costs to the student have continued to rise, the growth in loans has accelerated. In 1983 over 3.5 million students borrowed an average of $2,525 per year under the guaranteed loan program.[12] Students attending professional schools in particular have become dependent on loans. In 1981, medical school graduates, on average, had borrowed more than $25,000. Nearly one-third of 1984 medical graduates left school with more than $30,000 in debt.[13] Graduate and professional school students represented 25 percent of the borrowers, but over 30 percent of the total borrowed.

The next few years are almost certain to see the continuation of the rapid growth of loans.[14] It is now clear that such growth is not in the country's best interest. Loans were conceived as a supplement to other forms of student aid, a means of filling a gap or funding a student over a difficult period. In this mode they serve an important purpose. Excessive dependence on loans (and for many students it is already excessive) has a number of disadvantages:

- Sizable outstanding loans affect the career choices of students. Getting a well-paying job right after graduation becomes a necessity. Graduate school looks less attractive. Sizable loan balances inhibit the willingness of graduates to take further risks. A student who leaves college with a large debt burden may well feel he has already assumed all of the risk that he possibly could. Higher education must help students understand the responsibility that each has toward society. A new doctor or lawyer graduating with a debt of $20,000 or $30,000 is likely to mistakenly believe the reverse. Even marriage may be affected by the issue of "negative dowry."[15]

- The rate of persistence and completion of a degree for students with heavy loans is lower than for students who receive other forms of student aid.[16]

- Disadvantaged students find large loans onerous. Minority students, in particular, are less likely to use loans and therefore less likely to enter or stay in college.[17]

- The accelerated growth in loans means that the costs to the federal government are being postponed to future years because the subsidy cost continues for the life of the loan. Over half of the borrowers to date are still in college. Ten years ago, approximately one-tenth of the yearly cost of the Guaranteed Student Loan program paid for the loan subsidies of students who had already graduated. Today it is over two-thirds of the cost, and growing steadily. There is a danger that the cost of paying for past students, already well in excess of a billion dollars a year and mounting rapidly, will compete with the funds needed for future students.[18]

- Loans are socially inefficient. While in the short run the government leverages its funds by encouraging the use of private capital, in the long run the total of costs to the student, his parents, the college, and the government is far higher. Growing student indebtedness will mean fewer opportunities for young graduates to buy homes or cars.[19]

- Excessive loans inadvertently undercut traditional values. Working one's way through college is a cherished American concept that conflicts head on with "Go now, pay later."

We are moving toward a system of higher education in which the burden of college cost is being shifted more and more to the student and his or her family--but in the form of future costs. The tradition of this country has been that the colleges and universities are the gateway to a student's future, that a determined and hard-working graduate from a poor family starts out on an equal footing with all other graduates. Today, not only is that student less likely to graduate, but if he does, he is more likely to start out owing tens of thousands of dollars. This is hardly starting even.

This does not argue that all student aid should be given in a single form. There is an advantage to a diversity of programs, both in meeting the tailored needs of some students and in fashioning "packages" of student aid. Multiple student aid programs, including federal, state, and institutional programs, also help ensure the differential in student aid depending on cost. This is essential to preserve public and private higher education as well as the range of diversity within each of these. That diversity enables American higher education to match the diversity of students enrolled.

Student loans, when kept in moderation, are an important part of the balance. A number of people argue that any criticism of the amount of loans may be used as an argument for their elimination and the overall reduction of student aid. It is important that the sum of student aid programs be expanded, not contracted. However, to continue the shift toward loans and to fail to consider expanding other student aid programs out of fear of misinterpretation or exploitation is surely wrong.

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RESTRUCTURING STUDENT AID

How, then, can student aid programs be altered to maximize their beneficial effects: increased access, improved persistence, and the development of appropriate values including the concept of service? A variety of programs should be emphasized, moving away from the trend toward just loans. Some existing programs should be expanded, and others diminished in order to alter the balance of student aid and its consequent impact. There must be a base of programs that ensure equity in the access to higher education. The Pell grants and the current work/study programs should be the cornerstone of the student aid programs. They have proven effective in expanding access, encouraging retention, helping provide equity among students of differing backgrounds. They should be expanded in order to insure access to those of limited income. Loan programs are needed to provide a degree of flexibility.

THE IDEAL OF SERVICE

For all of the cynicism about political life in this country, for all of the worry about the TV-created passiveness and self-interest of young people, there remains deep in the American psyche a belief in the ideal of service to country as a proper step to adulthood. It is like a quietly burning ember, waiting to be fanned into a visible flame.

Repeatedly over the post-war period, and earlier during the 1930s, a variety of federal programs attempted to respond to that belief. They include the Civilian Conservation Corps, the National Youth Administration, the Peace Corps, the Young Adult Conservation Corps, the National Health Service Corps, the Teacher Corps, the University Year for Action, and various forms of student aid linked to military service. Almost all have proven effective at the three tasks expected of these programs--getting something done for society that needs doing, providing opportunities for personal growth for young men and women, and--most important--burnishing the ideal of service in the youth of the country. Some of these programs have been phased out or cut back.

Many of these programs persist. Some are admittedly complex to manage. All cost money. Because their constituency is ill-defined and their value distant, they are frequent targets of budget cutting. The determination remains, however, and recently the public's interest has grown stronger as the country again turns its attention to the ways by which young men and women reach adulthood. New bills have been introduced into the Congress for a voluntary national youth service and for an American conservation corps. States, such as New York and Minnesota, have proposals pending. Cities, such as San Francisco and New York, have begun new programs.

All young men and women should be encouraged to serve the country. Because this report is aimed at higher education, we have focused on a concept by which those who aspire to college may gain that opportunity--the concept of a social contract, providing student aid in return for service. College graduates are particularly important in this regard, for it is from among them that the country's leadership emerges. The opportunity to serve, however, should be available to all.

One possible approach to voluntary youth service is the concept of national service for all young Americans, but although service in some form for essentially all young men and women is desirable, a voluntary program would be more effective than any compulsory system.[20] Another approach would be for colleges and universities to prescribe some form of service as a graduation requirement.[21] This has much to recommend it, and colleges and universities should consider how to achieve this objective without trivializing the service performed.[22] Such an approach would be even more effective in the high school. The school system in Atlanta has already moved to implement such a program.

Both high schools and higher education can move immediately to create more public service opportunities on a volunteer basis. Many institutions such as Berea, Berry, Brown, Cornell, Georgetown, Hampshire, Minnesota, Stanford, Vanderbilt, and Yale have already done so.[23] States and cities can do so as well.[24]

To effectively reach a large share of American youth, a voluntary approach requires many programs. Differing students have differing needs.[25] It is not a question of whether a federal program will supersede a city or university program. It is rather a question of whether there will be enough different programs to make a significant impact. The following proposals are intended as models. They are focused on federal initiative, but are to complement the programs of the institutions and the states. In fact, the states could well employ some of these same models.[26]

PUBLIC SERVICE TEACHING FELLOWS

When it comes to encouraging service to country in a form that provides students with work experience blended with the traditional academic experience, this country already has one successful example, the ROTC (Reserve Officer Training Corps) program. This program can serve as a model for fields other than the military--to encourage better students to enter the teaching profession, to help the disadvantaged enter professional fields, to provide the opportunity for young men and women to undertake important social tasks, to meet many societal needs. One advantage of this type of a program in a field such as teaching is that it can be used to draw into the schools a stream of new, bright, and able people who are prepared to give two, three or four years of service but who might not be prepared to make a lifetime commitment.[27] Equally important, it can help students understand the concept of service to country.

Specifically a program based on the public service model--a Public Service Fellows Program for teaching--should be created to meet the shortage of math and science teachers as well as teachers willing to work in central urban areas.

Over the last few years, the urgency of attracting able men and women to the teaching profession has become a major concern. The recent Carnegie Foundation report, High School, described that urgency and outlined a number of ways to overcome it. The time for talk is over. Action is needed. The Public Service Teaching Fellows program suggested here emphasizes selectivity: students would be admitted to the program by the appropriate body after completing either the freshman or the sophomore year; would accept an obligation after graduation of a minimum of two or three years of teaching and would assume additional responsibilities while in college. In return, the student would receive a grant of $3,000 per year towards higher education.[28] The institution the student attends would receive a supplementary grant of $1,000 a year to help cover the costs of on-site training. Should the student decide after graduation, or after a year of teaching, not to continue in the teaching profession, then the remainder of the grant would turn into a loan at market interest rates.

The other obligations of the student would include activities much similar to the weekend and summer camp activities of the ROTC. One Saturday a month during the school year the student would be required to attend special training sessions to prepare for summer programs. During two summers, the student would be responsible, in return for a small stipend, to undertake the education of a class of students who have fallen behind the national average in reading and math in order to bring these students up to or beyond the national average. The Public Service Teaching Fellows could join under many circumstances in the outreach programs in TRIO, such as Upward Bound in their form described in Chapter VII.

The concept of Public Service Teaching Fellows has several critical advantages over the commonly suggested alternative. That alternative is a loan that would be forgiven in return for service in the profession following graduation.[29] The first advantage of the Public Service Teaching Program is that not everyone is eligible, only those selected. This encourages those most needed in the profession. Participating students also are likely to be attracted from diverse backgrounds. Historically, ROTC has been an avenue for social mobility for those of lower family income but higher motivation.[30] The second advantage is that the students begin "service" immediately, not at some indefinite point in the future. This should help to insure a serious interest. The third is that actual experience is coupled directly with academic class work. The fourth is that the program requires the student to meet certain academic requirements while leaving room for flexibility in the student's major. The program also provides flexibility by allowing the student to participate for the full four years, for three years, or even for two years.

An important feature is that the program asks for a personal commitment of a limited time. This means that young men and women can take on difficult tasks, such as teaching in the urban schools, knowing that they are not being asked to make a lifelong career choice. Experience indicates that they will take these commitments seriously, work hard at them, and volunteer for the riskier assignments.[31] The program also offers easy adaptability from the point of view of the schools. It can be readily expanded or contracted, and the schools have a flow-through of able young people, helping to create an atmosphere of excitement in the schools. No doubt the ablest would be encouraged to stay in teaching.

There are problems to be solved. The cost of a program of 10,000 fellowships a year would be approximately $40 million dollars.[32] There is the additional problem of matching the graduates with the job market. Unlike the military, there is no single agency in education that both sets the number of graduates and provides the actual hiring.[33] Not one of these problems is insurmountable.

Programs, such as the one suggested, reaffirm the tradition that young men and women spend a portion of their lives in service to their country.[34] Most important, we believe that Public Service Fellowships can be a model for many programs, not just teaching and the military.[35] For example, there is a program at the City University of New York that helps police and firefighters forced to retire at an early age to train for the nursing profession. Massachusetts and Florida have programs designed to attract able people to police work. Georgetown University is negotiating with the Washington, D.C. police force for a similar program to educate young men and women as police officers. Potential fields for such programs might include the encouragement of medical students to practice in inner city or rural areas or of law school graduates to work as public service lawyers.[36]

A GI BILL FOR COMMUNITY SERVICE; RESTORATION OF THE TRADITIONAL GI BILL

The GI Bill has often been considered the most effective student aid program that this country has developed. When proposed in 1943, it represented a major social innovation, a program that provided educational benefits for everyone that served the country in the military, subject only to admission to an approved educational institution. The concept, however, has suffered from the perception that it can be applied only to the military. Two parallel steps are proposed: restoration of the traditional GI Bill for the military to replace the present version, the Veterans' Educational Assistance Program (VEAP); and a program based on the basic elements of the GI Bill, providing student aid in return for community service on the part of young men and women.[37]

The program would encourage young men and women between the ages of 18 and 25 to devote one to two years of their lives to a public service undertaking in the military or in civilian programs. The civilian public service jobs would be in either the public or private sector. Certification of the job would be by a federal agency. In return for this service the federal government would provide student aid on a month-for-month matching basis. Fourteen months of student aid, for example, would accrue for 14 months of service. In addition, the scale of the benefits might be varied to match the need to attract young men and women to certain tasks. Service in the infantry might have higher benefits, service in a conservation corps lower.[38]

A number of the major universities have programs that are similar in concept, though small in size, based on private funding.[39] Two recent proposals for federal student aid that embody some variation of this principle have been put before Congress. Congressman Leon Panetta introduced the Voluntary Youth Service Act of 1984 and Senator John Glenn introduced the Student Aid Volunteer Earnings Act (S.A.V.E.) into the 98th Congress.[40] Congressman Panetta's proposal calls for the federal government to give grants to state and local voluntary youth service programs on a 50/50 matching basis. Under the terms of the federal grants, states may provide post-service benefits, including education loans or grants, in addition to in-service remuneration. Senator Glenn's proposal would have student volunteers contribute one-quarter of their salary to an educational trust fund, which would be augmented by federal matching funds equivalent to double their personal contribution upon completion of their service.

Many differing proposals are needed, but the principle--the exchange of service to country in return for subsequent educational benefits--is the important issue. Educational benefits can help the military attract better recruits, and public service organizations attract more young workers.[41] Most important, this form of student aid provides a tangible and useful way to demonstrate pride in the country, and strengthens the ideal of public service.[42]

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EXPAND THE EFFECTIVENESS OF THE COLLEGE WORK/STUDY PROGRAM

The college work/study program has received generally high marks for its effectiveness. However, since 1980, it has declined in terms of constant dollars. (See Table 7.) Work/study has two important advantages beyond its basic value of helping students pay for their college education. It encourages the development of those values students need in our society, and it allows for the opportunity to create public service roles for students, both on and off campus.[43]

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Table 7. Aid Awarded in College Work/Study

Year	Current Dollars ($ million)	Constant 1982 Dollars
1970	227	552
1970	295	513
1980	658	734
1984	641 (est.)	611 (est.)

Source: Donald A. Gillespie and Nance Carlson. Trends in Student Aid: 1963 to 1983, pp. 30 and 33.

The work/study program should be expanded three ways. First, the share of all full-time students working, presently about 40 percent, should be expanded to more of those receiving aid, towards the range of 60-70 percent of all students. Second, the significance of the jobs students perform needs to be increased. Third, colleges and universities should be encouraged to use at least 20 percent of their work/study funds for public service on and off campus.[44]

There can be dangers in work programs. Too much work--in excess of 20 hours a week--appears to detract from the student's academic effort and weaken students' educational aspirations. On the other hand, all students need the self-confidence that comes from excelling at some aspect of life. Many have a natural capacity to excel at work or managerial responsibilities and less ability at the academic. For almost all students, some blend of academic experience and work experience is the most potent combination.

Much also depends on whether the work experience is constructive. Both on-campus jobs and cooperative education jobs clearly help persistence. Work experience that engages the mind, requires a sense of responsibility, and has real work aspects (the necessity to find a job and to be fired if there is poor performance) is the most valuable.[45] There is a tendency for universities and colleges to assign students to menial or undemanding jobs both because of a deep-seated assumption that they are not yet ready intellectually or personally to play a more responsible role, and because it is simply easier to administer the program that way. There is a good deal of evidence that undergraduate students are not only effective when they assist in the teaching process (as tutors, teaching assistants, or writing fellows) or in the research process (as research assistants or in their own research projects) but when they undertake a wide variety of jobs that require intelligence and responsibility.[46] Several universities have experimented with dining halls completely run by students; others have experimented with housing arrangements that are essentially cooperative. Some have given students the opportunity to teach in adult literacy programs. Students benefit from participating in essentially all jobs, but much more can be gained.

When students participate in such activities they become colleagues in the educational process rather than objects upon which teaching is practiced. When students take responsibility, they learn to be responsible; far more so than if they are lectured on the importance of being responsible. What is needed is to encourage faculty and administrators to look at the evidence, to examine the large number of successful examples, and to use their imagination in the employment of undergraduates, rather than to pass out the work/study money in the easiest and quickest way.

One question that is frequently raised is whether there are enough "good" jobs or even enough jobs to support such a large number of students working. Our examination of this convinces us that there are more than enough. A number of colleges--Berea, Berry, Warren Wilson and Tuskegee, to name only a few--make work a basic part of their learning ethic. Essentially all students participate.[47] In addition, more of the funding should be allocated to public service activities, both on and off campus. Several colleges and universities, Cornell is an example, already have such programs.[48] Therefore, the college work/study program should be expanded in its present form; and a modest-sized system of competitive grants should be added for the employment of undergraduate students that would encourage creation of more active and responsible jobs. These grants should be added to the existing program of formula funding and should function much along the lines of the FIPSE Program.

In summary, public service programs such as those proposed above should be increased; Pell grants should be increased; work/study should be expanded in both volume and in the scope of the jobs provided; and loans should be reduced as a means of financing students. By 1990, the proportion among differing forms of student aid should be more balanced, with loans representing only a third and service programs one-quarter of the total.

Federal student aid plays a crucial role in assuring opportunity and social mobility in American society. A reduction of such aid would be a grave error.[49] Student aid, however, is more than a means for helping students finance their college education, as important as that is. It is an integral part of the education process, a means of encouraging the development of critical values in the men and women who will become leaders in the society.

Senator STAFFORD. You remind me of a similar story but I guess I had better not repeat it. Did your associate want to make any brief comment?

Dr. STOUT. Well, Russ, I think did a very good job of summarizing the major points that are germane to this committee, and unless there are specific details that you would like further explanation on, I do not see the need to make any comment.

Senator STAFFORD. Dr. Edgerton, in calling for the expansion of the work study program, you are aware that some colleges do not use the money that they have available for this.

Do you have any suggestions as to how the program might specifically be expanded?

Dr. EDGERTON. Well, I think that is an excellent question and an important barrier that needs to be overcome, and I think it can be overcome with incentives for colleges to think more imaginatively about the nature of the work that they provide students.

Frank Newman goes around collecting stories about the things that colleges do not believe students can do, that students can really do, from running dorms, through the rest of the operation.

And he is quite persuasive on the point that sometimes, if we released some of the administrators that have been a growth sector in higher education, and turn those tasks over to students, everybody would be better off.

There are also several projects underway, one by the Dana Foundation, to work with a variety of colleges in recreating and redesigning the nature of the work experiences which students are into and we commend that as a database for further exploration of that issue.

Senator STAFFORD. Thank you very much. You have talked somewhat about national service. A full national service. Have you given any thought to the possibility of that? Everybody at a certain age to spend a year, or a year and a half, either in the military or in some public service?

Dr. EDGERTON. These proposals often get quickly caught up in the larger conversation about national service, and my own impression is that whether or not we move to a national service alternative will be largely determined by the question of the military shortages, and if Congress needs to return to a conscription system because of military shortages.

As has happened in the past, a number of people may ride the coattails of that and propose a national service scheme. I think the interesting thing about national service is that it is a great ideal, and when you get down in to any particular program, there are all kinds of complications.

What we would recommend is that the ideal of service be infused, in a variety of ways, through a variety of different programs.

We need a lot of experimentation, we need a lot of different models, and, for example, you could look at the proposals here, that might come out of your committee on student aid, and say, well, looked at from the point of national service there are other better examples.

Or looked at from the point of view of disadvantaged students, they are not need-based, and there are a lot of objections to be raised.

Our point is that under the umbrella of a concept which massive numbers of Americans endorse and support, we need a lot of different kinds of pilots, and we think that this committee could do more to introduce some pilots through the student aid program.

Senator STAFFORD. Thank you very much.

I think one concern that we have when we think about national service, is the number of people involved. Now the country has become so big, that if you ever think about national service as a military obligation, the way Switzerland does, you are expanding our military uniformed forces by several orders of magnitude, and the country probably cannot afford that.

That has been one of the problems, and I guess the problem of numbers would flow over into other areas, unless we are simply talking about those who go to college and might do some national service there. That is worth thinking about.

Thank you very much for coming and joining us, and I apologize, as ever, for the brevity of statements. It is just a way of life here that we have to live with. Thank you very much.

[Additional material submitted for the record follows:]

THE PENNSYLVANIA STATE UNIVERSITY
405 OLD MAIN
UNIVERSITY PARK, PENNSYLVANIA 16802

David R. Schuckers
Director of Governmental Relations

Area Code 814
863-0319

November 5, 1985

Ms. Polly Gault
Staff Director
Subcommittee on Education, Arts & the Humanities
625 Senate Hart Office Building
Washington, D.C. 20510

Dear Polly,

This is in reference to Title VII of the Higher Education Act. We, at Penn State, have testified on the issue of academic facilities, acquisition, and maintenance of equipment before the House Subcommittee on Postsecondary Education. You also will recall that we mentioned this briefly in testimony before Mr. Stafford on the Senate side. Please find enclosed the discussion draft from the House Subcommittee. Notice the underlined language which covers our issue at no expense to the Government. It simply allows flexibility on the part of universities to maintain high cost equipment. I hope that Mr. Stafford's committee could see fit to use similar language, if not this exact language.

Should you have any questions concerning this, we would be pleased to respond. Thank you for your continued splendid efforts.

Sincerely,

David R. Schuckers

DRS:nw

AN EQUAL OPPORTUNITY UNIVERSITY

NOTE: Underlined language on the following four pages is that proposed by ASEE to address the equipment maintenance issue. Language was accepted without comment by House Postsecondary Education Subcommittee on 10/29/85. Full Committee mark-up will occur on 11/12/85. No controversy over this language is anticipated.

85HEA7

[DISCUSSION DRAFT]

OCTOBER 14, 1985

[Showing revisions to title VII]

TITLE VII--AMENDMENT TO TITLE VII OF THE ACT

SEC. 701. REVISION OF TITLE VII.

Title VII of the Act is amended to read as follows:

``TITLE VII--CONSTRUCTION, RECONSTRUCTION, AND RENOVATION OF ACADEMIC FACILITIES

``SEC. 701. GENERAL PURPOSES.

``(a) IN GENERAL.--The Secretary shall carry out programs of financial assistance to institutions of higher education and to higher education building agencies for the construction, reconstruction, or renovation of academic facilities and the acquisition <u>and maintenance</u> of special equipment if the primary purpose of such assistance is--

``(1) to enable such institutions to bring their facilities into conformity with the requirements of:

``(A) the Act of August 12, 1968, commonly known as the Architectural Barriers Act of 1968;

``(B) section 504 of the Rehabilitation Act of 1973;

``(C) environmental protection or health and safety programs mandated by Federal, State, or local law, if such requirements were not in effect at the time such facilities were constructed; or

``(D) hazardous waste disposal, treatment, and storage requirements mandated by the Resource Conservation and Recovery Act of 1976, or similar State statutes;

``(2) to enable such institutions to more efficiently use available energy resources, especially coal, solar power, and other renewable energy resources;

``(3) to enable such institutions to detect, remove, or otherwise contain asbestos hazards in academic and other facilities used by students, in accordance with regulations prescribed by the Secretary;

``(4) to enable such institutions to construct, reconstruct, or renovate the Nation's academic and research facilities, including libraries, and to acquire and maintain special research and instructional equipment;

``(5) to enable such institutions to provide facilities for advanced skill training programs that relate to emerging technologies and skill needs;

``(6) to enable institutions with unusual increases in enrollment or with significant internal programmatic enrollment shifts (according to data and criteria established by the Secretary) to construct, reconstruct, or renovate their facilities; or

Note: "Use for Maintenance" paragraph appears under Parts A,B, and C of Title VII -- Grants for Undergraduate..., Grants for Graduate..., and Loans for Undergraduate and Graduate...

RENOVATION.--Funds available under this part may be used for construction, reconstruction, or renovation of undergraduate facilities and combined graduate and undergraduate facilities.

``(g) USE FOR MAINTENANCE.--In addition, an amount less than or equal to 15 percent of that portion of an award granted under this part which is allotted by the recipient to meet costs of--

``(1) instructional or research equipment, and

``(2) equipment and structural changes necessary to obtain and sustain the environment (temperature, air quality, etc.) requisite to proper functioning of the new or renovated laboratory,

may be allocated by the recipient for maintenance of equipment and changes described in clauses (1) and (2). Part or all of this percentage may also be applied to costs of upgrading said equipment and structural changes within three years of the date of initial use.

``PART B--GRANTS FOR CONSTRUCTION, RECONSTRUCTION, AND RENOVATION OF GRADUATE ACADEMIC FACILITIES

``SEC. 721. GRANTS.

``(a) GRANT TO INSTITUTIONS; STATE LIMITATION.--(1) Funds available for this part shall be used by the Secretary to make grants to graduate institutions of higher education whose applications for assistance are consistent with the to be financed with the aid of a loan under part C.

‘‘(B) In determining the development cost with respect to an academic facility, the Secretary may include expenditures for works of art for the facility of not to exceed 1 per centum of the total cost (including such expenditures) to the applicant of construction, reconstruction, or renovation of, and land acquisition and site improvements for, such facility.

‘‘(4) The term ‘maintenance’, with respect to instructional and research equipment obtained with funding under this title, shall mean the care necessary to the optimal functioning of such equipment. With respect to the equipment and structural changes related to obtaining and sustaining the necessary environment (ventilation, etc.) for proper functioning of instructional and research equipment, ‘maintenance’ shall mean that portion of care above and beyond normal overhead costs.

‘‘(5) The term ‘Federal share’ means in the case of any project a percentage (as determined under the applicable State plan) not in excess of 50 per centum of its development cost.

‘‘(6) The term ‘higher education building agency’ means (A) an agency, public authority, or other instrumentality of a State authorized to provide, or

THE PENNSYLVANIA STATE UNIVERSITY
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Bryce Jordan
President

November 11, 1985

The Honorable Robert T. Stafford
Chairman
Subcommittee on Education, Arts and Humanities
Committee on Labor and Human Resources
United States Senate
Washington, D.C. 20510

Dear Senator Stafford:

I have reviewed the transcript of my October 10, 1985, remarks before the subcommittee on Education, Arts and Humanities. Editorial changes have been recorded on the transcript as requested.

In addition, I have asked my staff to review a September 11, 1985, statement prepared by Edward E. Fox, President and Chief Executive Officer of the Student Loan Marketing Association, regarding authorizing Sallie Mae to make loans for equipment and facilities to colleges and universities. I did this to follow up on Senator Simon's October 10 request that I investigate the Sallie Mae idea further and share my thoughts on it with the Subcommittee on Education, Arts and Humanities.

As I indicated in response to a question during my testimony before the committee, Penn State has the ability to borrow money for equipment and facilities through a bonding arrangement at the present time. Hence, authorizing Sallie Mae to make loans to universities for equipment and facilities would not affect Penn State directly at the current time.

My staff does believe that if Sallie Mae were authorized to make such loans, it would lead to an increase in the volume of tax-exempt financing which might have long-range implications for those who now use the bond market. Any increase in tax-exempt financing would, of course, potentially decrease tax revenue to the government which, in turn, could lead to a tightening up of other tax-exempt bond markets.

From our perspective, proposals to authorize Sallie Mae to make loans to colleges and universities for the purchase of equipment and/or facilities should be analyzed carefully, particularly in terms of long-range implications for the institutions and the financial markets which they depend upon.

Thank you again for the opportunity to appear before your committee. If I can be of further assistance, please let me know.

Sincerely yours,

Bryce Jordan

Bryce Jordan

cc: The Honorable Paul Simon

American Society for
Engineering Education
suite 200
eleven dupont circle, washington, d.c. 20036
(202) 293-7080

October 18, 1985

Senator Claiborne Pell, U.S.S.
335 Russell Senate Office Building
Washington, DC 20510

Dear Senator Pell:

As a follow-up to the testimony given by Dr. Otis Sproul on October 10 before your Subcommittee, I am enclosing details of ASEE's proposal for changes to Title VII of the Higher Education Act. You will recall that Dr. Sproul's remarks focused on the problems of laboratory equipment maintenance.

If there is any other information which you desire on this or any other topic related to engineering education, I hope that you will not hesitate to contact ASEE.

Thank you very much.

Very truly yours,

WEdward Lear
W. Edward Lear
Executive Director

WEL/kab

Enclosures

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A Proposal to Provide for Maintenance
of
Equipment under Title VII of the Higher Education Act

The American Society for Engineering Education

Background: On October 10, 1985, Dr. Otis J. Sproul, the Dean of Engineering at the University of New Hampshire, testified on behalf of ASEE before the Senate Education, Arts and Humanities Subcommittee as part of the discussions of Title VII of the Higher Education Act. In his remarks, Dr. Sproul underscored the importance of high-quality laboratories to a first-rate engineering education. He also stressed the problems associated with aging and obsolete academic engineering equipment:

> "You would not want your surgeon to operate on you never having practiced his skills in a laboratory setting. But, many of our students are learning their fundamental engineering skills on equipment that was in place before they were born."

Citing several studies which show national academic equipment needs to be in the multi-billion dollar range, Sproul urged a fuller recognition of the importance of maintaining current and future equipment purchases as one cost-effective measure to combat the equipment crunch. Drawing on his own experience at the University of New Hampshire and graphic examples provided by his engineering dean colleagues, Dr. Sproul illustrated that "maintenance of academic engineering equipment is as vital an issue as the acquisition of the equipment itself." A few highlights:

** A recent survey by the National Science Foundation of 1,200 physical and computer science and engineering departments noted that no less than 80 percent of the research instrument systems in the $10,000 to $1 million range required some type of maintenance in FY82.

** Donations of equipment from corporations do not often include maintenance provisions. Some schools reluctantly turn down equipment gifts because maintenance costs would be too high.

** Annual maintenance costs run an average of 10% of the purchase price on lab equipment -- higher for the kind of maintenance contracts often needed for sophisticated computer systems.

** The dean of engineering at Tennessee Tech observes that on a $1 million Calma computer system purchased recently for the school's new computer-aided design laboratory, the $108,000 annual service contract is "more than our entire supplies and expenses budget was 10 years ago."

** Proper maintenance of computers includes more than the hardware. A typical maintenance contract on computer software provides modifications and updates as they develop. If a school does not pay this charge, it is left with out-of-date software. This poses a significant problem if the computer is required to communicate with another machine that DOES have the updates.

** ABET, the accrediting agency for the nation's engineering schools, will institute a new criterion next year requiring schools to have a "carefully constructed and functioning plan for the continued replacement, modernization, maintenance and support of laboratory equipment and related facilities."

For a detailed discussion of the types of maintenance arrangements often employed by engineering schools, and the costs and benefits of each, please refer to Dr. Sproul's testimony.

Clearly, as Dr. Sproul notes in his statement to the Subcommittee, the costs of maintenance are an integral part of running a fine academic laboratory. Title VII represents one opportunity to make the federal investment in the equipment used in these labs more cost-effective through a simple recognition of maintenance as a fundamental component of an equipment "package".

The following proposal for the clarification of current Title VII language to accomodate the maintenance concept has two primary thrusts:

1) A change that will allow an amount equal to or less than 15% of that portion of an award or loan given under Title VII which is directly related to lab equipment or "environment" (i.e. ventilation, temperature) to be allocated by the recipient for maintenance of those features.

2) A change that will allow that same 15% to be used optionally by the recipient to upgrade equipment originally purchased or leased under a Title VII grant or loan within three years of the date of initial use.

Suggested legislative language with rationale for each proposed change follows.

American Society for Engineering Education
Suite 200, Eleven Dupont Circle, N.W.
Washington, D.C. 20036
(202)-293-7080

W. Edward Lear
Executive Director, ASEE

Kathi Ann Brown
Staff Associate, Federal Liaison

Proposed legislative language
Title VII - "Maintenance"

Item One

General Purposes, Sec. 701.

"Sec. 701. The Secretary shall carry out programs of financial assistance to institutions of higher eduation and to higher education building agencies for the construction, reconstruction, or renovation of academic facilities and the acquisition and maintenance of special equipment if the primary purpose of such assistance is — ..."

Rationale: The addition of the word "maintenance" under the General Purposes section makes explicit the fundamental importance of maintenance and, further, underscores the partnership between acquisition and care of equipment as a long-term investment.

Item Two

General Purposes, Sec. 701.(3)

"...(3) to enable such institutions to construct, reconstruct, or renovate the Nation's research facilities, including libraries, and to acquire and maintain special research and instructional equipment; ..."

Rationale: The addition of the word "maintain" makes clear the intent of Title VII to recognize the costs of maintenance as well as acquisition of equipment. As noted in Item One above, such an explicit addition clarifies the real relationship between acquisition and maintenance of equipment as fundamental components of laboratory costs.

The addition of the word "instructional" recognizes those pieces of scientific and engineering equipment which are frequently as fundamental to the academic laboratory experience as research-oriented tools. This is particularly true of undergraduate academic engineering laboratories where two-thirds of our future engineers receive substantially all of their hands-on training. Without adequate attention to acquiring and maintaining badly-needed instructional equipment (current needs in engineering schools alone run to over $2.2 billion), we won't be able to train the young men and women who will in turn conduct our academic and industrial research. Furthermore, the size and special needs of certain instructional equipment require recognition in any attempt to address laboratory facilities. For example, the construction of a wind tunnel, the electrical wiring needed for personal computer "rooms", and the installation of concrete stress measuring devices all dictate special consideration in building or renovation plans.

Item Three

Part A - Grants for the Construction, Reconstruction, and Renovation of
Undergraduate Academic Facilities -- Allotment of Funds
Proposed Section 713(h)

"...(h) In addition, an amount less than or equal to 15 per centum of that portion of an award granted under this Part which is allotted by the recipient to meet costs of:

(1) instructional or research equipment, and

(2) equipment and structural changes necessary to obtain and sustain the environment (temperature, air quality, etc.) requisite to proper functioning of the new or renovated laboratory,

may be allocated by the recipient for maintenance of (1) and (2). Part or all of this percentage may also be applied to costs of upgrading said equipment and structural changes within three (3) years of date of initial use.

Rationale: This new language sets out the 15%-or-less formula option available to schools to accomodate the costs of maintenance associated with outfitting the new or renovated laboratory facilities obtained under Title VII. The 15% ceiling is calculated on the total to be spent by the school on the equipment (instructional, research, and "environmental") and structural changes necessary to set in motion the scientific or engineering academic lab(s) -- instructional or research -- built or renovated through a Title VII award.

If a school wishes, it need not reserve 15% or any part of the funding for maintenance purposes; it may allocate that 15% for other appropriate uses under this Part. Such an alternative could be to reserve the funds to upgrade these same equipment and structural changes within a three-year period. This second option allows schools to "trade-in" aging equipment or make small structural alterations to accomodate changing needs within a time-frame which discourages obsolescence.

One example of a "structural change" which would fall into this new language is electrical wiring -- installation of extensive new wiring is vital to large computer systems. Examples of "environmental equipment" in this new section would include, but are not limited to, air conditioning or air filtering systems vital to the functioning of delicate lab equipment, including computers. Note that a special definition of "maintenance" for this particular category of equipment has been included in the last section of this proposal.

Item Four

Part B - Grants for Construction, Reconstruction, and Renovation of Graduate Academic Facilities -- Grants
Proposed Sec. 721(a)(2)(d)

Same language and rationale as presented under Part A.

Item Five

Part C - Loans for Construction, Reconstruction, and Renovation of Academic Facilities - Eligibility Conditions, Amounts, and Terms
Proposed Sec. 731(c)

Same language and rationale as presented under Part A.

Item Six

Part D - General, Definitions
Proposed Sec. 742(3), subsequent paragraphs to be renumbered accordingly

"...(3) The term "maintenance", with respect to instructional and research equipment obtained with funding under this Title, shall mean the care necessary to the optimal functioning of such equipment. With respect to the equipment and structural changes related to obtaining and sustaining the necessary environment (ventilation, etc.) for proper functioning of instructional and research equipment, "maintenance" shall mean that portion of care above and beyond normal overhead costs.

Rationale: The differentiation between maintenance of instructional and research equipment as opposed to maintenance of equipment and structural changes vital to securing proper environmental conditions will alleviate any concerns about the underwriting of so-called "normal overhead" costs through Title VII funds. At the same time this separate definition of maintenance for this latter category helps to point out this often-expensive extra increment of care that is vital to special laboratory environments.

Senator **Stafford**. The subcommittee stands adjourned.

[Whereupon, at 11:52 a. m., the subcommittee was adjourned, subject to the call of the Chair.]

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